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ABSTRACT

As part of a project studying intrainstitutional planning, management, and evaluation, four case studies were undertaken in 1976 of academic planning at Villa Maria College, Kansas City Metropolitan Community College District, West Virginia University, and Western Washington University. The case studies were part of an ongoing project, the development of an Academic Unit Planning Manual, and consist of descriptions of planning systems and activities at each institution. (MSE)

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Academic Planning:

Four Institutional Case Studies

Raymond N. Kieft

1978

NATIONAL CENTER FOR
HIGHER EDUCATION MANAGEMENT SYSTEMS
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The West Virginia Board of Regents has granted permission for NCHEMS to publish the case study on academic planning at West Virginia University included in this document. Portions of the material included in that case study appear in Raymond Haas, "College and University Long-Range Planning," *Proceedings of the 24th Annual Meeting of Southeastern Regional Association of Physical Plant Administrators of Universities and Colleges* 6-8 October 1975 (Morgantown, W.Va.: West Virginia University, 1976) and are reprinted by permission of the publisher. Portions of the material included in the West Virginia University Case Study appear also in Raymond M. Haas, "Integrating Academic, Fiscal, and Facilities Planning," *Planning for Higher Education* 5 (October 1976): 2/5, and are reprinted by permission of the publisher, the Society for College and University Planning.

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Preface

In 1973, in keeping with its general mission to improve planning and management in postsecondary education, NCHEMS launched an Intrainstitutional Planning and Management project. The project objective was to help college and university administrators examine planning and management concerns at the various levels of program activity—department, school, college, and division. During 1973 and 1974, project staff developed a Faculty/Activity Matching Model and then an *Academic Unit Planning Manual* (*AUPM*), which incorporated the matching model. These products underwent field review in 1974 at Ball State University and the University of Minnesota.

The field review experience led to two main conclusions. The first was that *AUPM* could be used to provide a common information profile about each academic unit that the unit head would find useful in using budget resources more efficiently and equitably and in contributing to more coordinated, compatible institutional planning. The second conclusion reached by most participants in the field review was that *AUPM* did not focus adequately on planning because it did not investigate or address process and procedural questions. The relationships between unit and institution-wide planning, the motivational aspects of planning, the relationship of planning to resource allocation, and the context for planning were all viewed as equal in importance with the standard information profile in fostering improved planning.

Published in 1976, *AUPM* incorporated many suggestions made by field-review participants at Ball State and at Minnesota. But it did not alter its focus on the provision of common unit information. However, NCHEMS continued the project (changing its name to Intrainstitutional Planning, Management, and Evaluation) and investigated the process and procedural aspects of institutional planning. An IIPME project task force of advisors met with Center staff in June, 1976, to plan project activities. It was decided to investigate the academic planning process through institutional case studies, which were undertaken in late 1976 and completed in the fall of 1977 with the publication of *Academic Planning: Four Institutional Case Studies.*

At the outset of the IIPME project, a good variety of institutions were found to be engaged in formal, structured academic planning. Project staff and the task force decided that the best strategy would be to limit the case studies to just four institutions, each representing one of the major institutional categories. It would then be possible to investigate their planning processes in depth and gain more insight in the long run than would derive from a more broadly based but necessarily more superficial investigation. Project staff determined that the most representative mix of four institutions prepared to cooperate in the case studies would be provided by the Kansas City Metropolitan Community College District, Villa Maria College, West Virginia University, and Western Washington University.

Initial case-study drafts, describing planning procedures and processes at each institution, were prepared on the basis of materials provided by each institution and information gained during campus visits with institutional officers and faculty. These drafts were then critiqued at the respective institutions by various institutional officers at the level of dean and above. Second drafts, revised in the light of these critiques, were then reviewed by the IIPME Task Force and again by the institutional officers. Final revisions were made to reflect changing conditions at the four institutions.

The appearance of *Academic Planning* does not, however, signal the completion of the IIPME project at NCHEMS. The project began with the recognition that *AUPM,* while explicating ways to accomplish informational comparability and compatibility across academic units, is of limited utility in the absence of a complementary document describing ways to incorporate such information into a formal planning system. Throughout the development of the case studies, NCHEMS received a battery of questions from administrators in various institutions who were familiar with *AUPM* and with the continuing IIPME project. Most of these questions concerned the adaptability to other institutional settings of the procedures and processes that would be described in the case studies. The inquiries gave strong indication that a handbook offering guidance in the design, development, and implementation of academic planning procedures and processes would indeed be a useful management aid. The techniques employed at the case-study institutions do represent potential models for adaptation at other institutions. Project staff have received much comment, however, in favor of the development of a document providing a more specific and prescriptive approach to academic planning. Moreover, the handbook notion has been endorsed by the IIPME Task Force.

Accordingly, NCHEMS will develop in 1978 a field-review edition of a handbook aimed at supporting development and implementation of planning procedures and processes tailored to the needs of individual institutions and sensitive to resource-reallocation issues. Neil Bucklew, Provost and Academic Vice President of Ohio University, will serve as consultant to staff drafting the handbook. The IIPME Task Force will continue to provide guidance and advice.

Since institutions of higher education are dynamic and since they differ with respect to the stage they have reached in their planning efforts, the NCHEMS academic-planning handbook will be modular. It is expected, initially at least, that a module will be developed for each of the following design stages: readiness assessment, contextual, technical, and implementation. These self-contained modules will enable an institution utilizing the handbook to enter the continuum of procedure and process design at the appropriate point.

The project to develop *Academic Planning: Four Institutional Case Studies* was one of a number of NCHEMS projects funded by the National Institute of Education (NIE) under contract 400-77-0004. The conclusions and judgments expressed by the author do not necessarily reflect the views of policies of either NIE or NCHEMS.

Acknowledgments

There is not space here to name all the many people who made generous contributions of time and knowledge to the preparation of *Academic Planning*. But the author is impelled to acknowledge particularly indispensable assistance he received from James Albers, Vice Provost for Instruction and Planning at Western Washington University; Sister M. Lawreace Antoun, President of Villa Maria College; Raymond Haas, Provost for Planning at West Virginia University; and Lee A. Stevens, former Vice-Chancellor for Planning and Development for the Kansas City Metropolitan Community College District and now President of Golden West College.

It has been said that gratitude carries with it a lively expectation of favors yet to come. In that spirit, the author applauds the work of the members of the NCHEMS Intrainstitutional Planning, Management, and Evaluation Task Force in the development of *Academic Planning* while earnestly soliciting their continuing assistance as the projected handbook takes shape.

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Introduction

BACKGROUND

Past Planning: Informal, Disjunct, and Expansionary

Planning has long been regarded in American education as a responsibility of institutional management. Prior to the 1970s, planning in colleges and universities could be characterized generally as informal and mainly concerned with expected growth. Planning that dealt with internal matters—which is called academic planning in this book—concentrated on establishing new programs, or acquiring new resources to support new programs, or both. Administrators for academic affairs worried about finding enough qualified faculty to handle additional courses demanded by growing enrollments; managers of the physical plant and other facilities concentrated on finding or building enough space to accommodate expanding enrollment; fiscal and budget officers were mainly concerned with making sure that the additional revenue was disbursed according to proper accounting procedures. Planning was planning for *more* in the late 1950s and 1960s and an increasing share of both tax dollars and private funds was channeled to higher education in these years.

Institutions Dynamic and Changing

In the present decade, of course, higher education has been decelerating toward what many believe will be a long-lasting "steady-state." That may be, but most institutions find their own state of affairs to be far from steady. By and large, individual institutions are in a dynamic state, encountering fluctuating environmental conditions and undergoing institutional change from year to year. The difficulties of managing this continuing change have generated new interest at many institutions in adopting formal planning procedures and processes to achieve more orderly, better channeled change.

A discourse on changing conditions in higher education will not be attempted here. (For an informative treatment of the subject, see the report of the Carnegie Foundation for the Advancement of Teaching, *More Than Survival* [San Francisco: Jossey-Bass, 1975].) But the reader of the present document should note one aspect of change—*reallocation*. This new resource phenomenon confronts institutional management with a perplexing variety of decision choices, but it is not indicative of administrative flexibility or increased discretion. Rather it is indicative of the rigidity of the decision environment in higher education. The deceleration of income growth, federally mandated compliance acts, escalating energy costs, rising tenure ratios, and collective bargaining pressures are among the forces that have decimated managerial flexibility and left many institutions with reallocation as their only way of implementing change.

Resource Reallocation Becoming Common

Since planning for reallocation and making reallocation decisions are relatively new concerns in institutions of higher education, the literature on the subject is scanty. The National Center for Higher Education Management Systems (NCHEMS), while recognizing the importance of this emerging issue, also recognized that its staff had only limited knowledge about procedures and processes for accomplishing formal institutional planning and resource reallocation. In line with advice from a number of representatives of institutions, the Center launched a project in late 1976 to develop case studies of present practices at some representative institutions. Through these case studies, NCHEMS hoped to identify common elements of the various institutional approaches to institution-wide academic planning and resource reallocation. In addition, it was expected that the case studies would yield information on which to base future effort to supplement the NCHEMS *Academic Unit Planning and Management* manual, which had appeared in 1976.

Identify Elements of Planning and Resource Reallocation

CHARACTERISTICS OF THE CASE-STUDY INSTITUTIONS

Case Studies Reflect Differing Types of Institutions

At the outset, it was felt that the case studies should reflect both the broad range of educational diversity in postsecondary education and differing missions and scopes. Otherwise, any conclusions or observations drawn from the case studies could misrepresent general practice. Practical utility to other institutional settings also required that at least one case study be from each of the four principal institutional types found in postsecondary education. For these and other reasons, four institutions, each a representative of a principal institutional type, were selected for case study.

Kansas City Metropolitan Community College District

The Kansas City Metropolitan Community College District (KCMCC) represents the community/junior college type of institution. With three traditional college campuses and one nontraditional college, KCMCC requires planning that recognizes the individuality and mission of each college while being comparable and compatible across all four. In this sense, planning at KCMCC is similar to planning at any institution that has separate schools or colleges. However, the distinguishing characteristic of KCMCC planning is that staff at the District level develop the initial draft plan, which is then reviewed and critiqued by the various college audiences. This is not to say that there is no college-level internal program planning. Each college does plan. However, the District plan is not merely the sum of the four college plans; some combination of the college plans determines the District plan.

Villa Maria College

Villa Maria College represents the independent, undergraduate, liberal-arts institutions. With limited organizational and program complexity, and no reporting requirements to external funding agencies, Villa Maria has a process of planning less cumbersome than that of larger, more complex state-related institutions. One consequence is that Villa Maria is able to structure planning in a total, bottom-to-top manner, in which each faculty or staff member has an opportunity to express concerns, ideas, or solutions and have them considered. Villa Maria utilizes a Delphi technique for identifying priority concerns and ideas among the set of individual expressions, for subsequent clarification and amplification as the process moves along.

West Virginia University

West Virginia University represents the major research institutions. With various professional schools (medicine, dentistry, law), research centers and institutes, and doctoral programs, West Virginia has a very formal, structured, and prescriptive planning process. As befits an institution of this type, planning is decentralized; a central planning office facilitates and coordinates the process. The various group activity centers (colleges, schools) develop their own processes of planning within guidelines established centrally. Planning is programmatic and other aspects of planning, such as budget and facilities, follow the programmatic plan.

Western Washington University

Western Washington University represents public, state-supported institutions that do not have doctoral programs. It also represents that large number of institutions, formerly thought of as devoted to teacher training, that have recently emerged as more comprehensive state colleges and universities. The transition to a different mission and role at Western Washington has contributed to a desire for formalized planning. The process is centrally facilitated and coordinated, as it is as West Virginia. The planning office provides planning units with guidelines for preparing their own proposals and establishes a definite calendar for accomplishing various tasks associated with the process.

Taken together, the four case studies give rise to some generalizations that the reader will draw independently. But those interested only in the planning process used by a particular kind of institution should find the appropriate case study reasonably complete in itself. In any case, *persons interested in obtaining additional information regarding one or more of the case studies are asked to contact NCHEMS before making inquiries at a case-study institution.* In this way, questions common to a number of interested readers can be answered by NCHEMS without unduly burdening staff at the individual institutions. If a question does require response from an institution, NCHEMS will facilitate that response.

SUMMARY OF PROJECT OUTCOMES

NCHEMS had two objectives in undertaking case-study activities. It is felt that both have been reached. The first objective was to identify and understand more fully the issues and complexities of managing institutional change through processes of planning and resource reallocation. Reaching this objective contributed to achieving the second objective, which was to identify certain common process elements that can serve as guidelines to help an institution establish its own procedures and processes of planning. The realization of these two objectives has paved the way for further work. In 1978, NCHEMS plans to develop a field-review edition of a handbook for the design, development, and implementation of an institutional planning process.

West Virginia University*

West Virginia University is situated on three campuses at Morgantown, in a setting of rolling hills and Piedmont terrain. The downtown campus, comprising some 75 acres, is at the heart of the small urban area of 45,000 population. A mile and a half to the north lie the 275-acre Evansdale campus and the 260-acre University Medical Center. The three campuses are joined by a unique personal rapid transit system, built by the U.S. Department of Transportation as a national research and demonstration project.

West Virginia's Land-Grant and Comprehensive, Major Research University

WVU is both the land-grant institution and the comprehensive, major research university of the state of West Virginia. Its distinctive mission within the West Virginia system of higher education is to serve as a center of graduate education, professional education and training, research, extension, public service, and continuing education. WVU is organized into 18 colleges, schools, and divisions, which include 96 academic departments. These academic units offer 163 different programs, leading to degrees at either the bachelor's, master's, or doctoral level.

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*This case study includes excerpts from Raymond M. Haas, "Integrating Academic, Fiscal, and Facilities Planning," *Planning for Higher Education*, 5 (October 1976): 2/5 and excerpts from Raymond [M.] Haas, "College and University Long-Range Planning," *Proceedings of the 24th Annual Meeting*, Southeastern Regional Association of Physical Plant Administrators of Universities and Colleges (Morgantown, W.Va.: West Virginia University [1975], n.pp.).

Academic year enrollment on the Morgantown campuses is about 18,000. Summer enrollment generally exceeds 6,000, while various extension programs throughout the state enroll approximately 4,000 students. Full-time faculty number about 1,600, with over half having the doctorate. Employees of the institution total approximately 6,000. WVU had a total budget in excess of $150,000,000 for the 1976-77 fiscal year. As a part of the state-supported system of higher education, WVU is governed by the West Virginia Board of Regents. The University also has a lay advisory board.

WVU ORGANIZATION AND ITS RELATIONSHIP TO PLANNING

Figure 1 (page 21) describes the organizational structure for West Virginia University as it appeared during 1967-77. WVU used an unusual form of organization at that time, which was the period in which the planning process described herein was developed. By comparison with the more traditional pyramidal strucutre, the organization chart for WVU was rather flat. The theory supporting the flat organizational structure was based on two assumptions: (1) creativity is fundamental to higher education and (2) creativity is best fostered through an organizational structure that provides immediate access for program proposals to the decisionmaking levels of the institution. Given the flat structure, creative ideas that surface at the activity level can be quickly forwarded to the decisionmaking level, because there is little or no intervening hierarchical structure.

"Flat" Organization

Creativity Fostered

On the other hand, a flat organizational structure, with its broad span of control, perhaps can retard communication. This is possible because the many managers at each level face the limited ability of any executive to listen to and deal with everyone. To offset the problems caused by this broad span of control, West Virginia University adopted the use of a "team presidency" or, as it is sometimes called, a "president's office." In this structure, those at the vice-presidential level are organized in a cooperative manner to share a piece of the presidency and thus provide a broad base for dealing with the many facets of institutional management.

A Broad Span of Control and Some Problems

Team Presidency

In the judgment of WVU officials, the use of the concept of a president's office along with a flat organizational structure fostered and enhanced planning as a managerial activity. For instance, figure 1 shows that the various provosts had no line responsibilities. Consequently, the natural tendency to establish territorial rights and vested interests, or both, in an organizational structure that embodied various lines of responsibility was minimized. Having no line responsibilities, the various provosts had to confer with the President and each other on all institutional matters. Therefore, the participation that is essential to the sucess of planning was guaranteed.

Planning Is Fostered and Enhanced

Participation Guaranteed

Forty-Five Group Activity Centers Report to President's Office

The 45 various group activity centers, which are displayed in figure 1, had no one boss. The boss was, in actuality, the President's Office and the group activity centers related to individuals within the President's Office on a functional basis. That is, matters relating to financial management were brought to the attention of the Provost for Finance, instructional matters were addressed to the Provost for Instruction, graduate education and research matters were directed to the Provost for Graduate Education and Research, and so on. These kinds of relationships fostered and enhanced planning because regular communication between provosts and the President was mandatory with this kind of organizational structure. West Virginia University officials were quick to point out, however, that planning systems do not necessarily depend on the kind of organizational structure in the institution. An institution with a more pyramidal organizational structure could still adopt the academic and other planning processes in use at WVU. Indeed, upon the retirement of the President who served during 1967-77, his successor indicated that a reorganization of the institution will occur over time. Thus officials at WVU may have the opportunity to test the operation of its planning system in two different organizational settings.

DESIGN OF ACADEMIC PLANNING AT WEST VIRGINIA UNIVERSITY

Integrated, Comprehensive, and Based on Programs

Academic planning at WVU is part of a *comprehensive, integrated* planning process that includes fiscal and facility planning. Within the context of integration, however, the all-important characteristic of planning at WVU is that it is based on academic *programs.* Academic program planning comes *first,* and all other planning falls out as a result. Consequently, academic planning is both the primary force in overall planning activity at WVU and the primary ingredient in the decisionmaking process through which resources are allocated on an annual basis by the University admininstration. It is important to emphasize that fiscal judgments are not made in isolation from program judgments at WVU. The budget and other fiscal matters are, in actuality, program judgments translated into numbers.

Primary in Resource Allocation

Participation Stressed

Planning at WVU is designed around the assumption that planning is successful only if it involves those who will have to take part in the execution of the plan. Therefore, participation is continually stressed. It is accomplished in two ways.

University Council on Planning

One way is through a unit called the University Council on Planning. (The specific responsibilities and duties of this Council, together with examples of its planning outputs, are described on page 17.) The Council has 12 members: nine faculty and three students. In addition, three University officials serve ex officio: the Director of Physical Plant, the University Architect, and the Provost for Planning. The 12 faculty and student members of the

Council do not represent particular subunits of the University and therefore do not have constituencies. Rather, they are meant to be University statespersons. Most important, the members are not called upon to be planners but rather to bring the perspective of their situations in the University to the consideration of the long-range future of the University. Briefly stated, the function of the University Council on Planning is to provide for the President's Office a proposed set of planning assumptions that, because of the tie between planning and budgeting, become (along with the institutional statements of objectives) criteria for the decisions that must be made throughout the planning process.

Group Activity Center Participation

Faculty as Planners

The second way that participation in planning is facilitated at WVU is through the fact that the overall design of the process is based upon initial broad-based participation at the activity levels (that is, at the academic departments, faculty groups, interest centers, and so on), with a more narrow focusing of participation as the process moves through various review stages. For the 1977-78 planning year, 30 of the 45 group activity centers had established their own councils on planning. A council consists of faculty and/or staff and students from an activity center and, in some cases, from other centers in the University. In this way, both the perspectives of the activity center and those of other centers are brought to bear on the center's own particular planning activities. The fundamental strategy is that faculty, as representatives of academic programs, are free to describe their future (eventually the future of the University) as they see it, informed by the constraints and parameters that define the boundaries for their efforts. In this way, planning at WVU involves those who are being planned for.

Steps in the Academic Planning Process

First Step—

Planning Assumptions

The first step of the process is the development of planning assumptions by the University Council on Planning. In addition to these planning assumptions, the Office of Institutional Research prepares various input/output/productivity data which are shared with the deans and directors of the group activity centers.

Second Step—

Group Activity Center Prepares Planning Assumptions

In the second step, group activity centers use the planning assumptions and other materials to develop their own planning assumptions. Each group activity center has its own procedures for developing its planning assumptions. While at present only 30 unit planning councils are in existence, it is planned that all 45 group activity centers will have their own council on planning operating in relationship to a dean or director in a manner similar to the way in which the University Council on Planning serves the President's Office.

The third step is the actual preparation of plans by each group activity center. These plans consist of four parts: (1) an annual report of the activities of the past year; (2) recommendations and plans for the future based on the analyses described in the annual report section; (3) the following information for each current activity: (a) those activities to be eliminated in the year immediately ahead or beyond, (b) those activities calling for decreased resource allocations in the year immediately ahead, and (c) those activities calling for increased resource allocations in the year immediately ahead; and finally (4) proposals for new programs including detailed budget proposals and justifications. In addition, these proposals must be ranked in priority order for the group activity center by the dean or director, with primary justification being based on a proposal's relative importance to the attainment of stated objectives and its consonance with stated planning assumptions for both the individual unit and the University as a whole.

Third Step—

Group Activity Center Prepares Annual Report and Program Proposals

Fourth Step—

Review by President's Office and Oral Presentation

The fourth step in the planning process is the first level of review. Group activity center plans are forwarded to the President's Office staff. Each group activity center dean or director is also invited to make an oral presentation of the center's plan to the President's Office. This oral presentation accomplishes a number of functions, including an overall review of the unit's performance during the past year as specified in the annual report section of the plan, as well as a review of the priority proposals for the year immediately ahead.

Fifth Step—

Preliminary University Annual Plan and Budget Request

The fifth step is initiated when all activity center conferences have been completed. The President's Office then prepares an annual plan and operating budget request for the year immediately ahead. The plan and budget are constructed through the development of a University-wide listing of program priorities. *It must be stressed that the budget request that is developed is based upon the decision criteria (planning assumptions) as initially formulated and proposed to the President's Office by the University Council on Planning, a group made up of faculty members and members of the student body.* In this way, resource allocation is a direct consequence of program planning and two processes—planning and resource allocation—become one system.

Sixth Step—

"Fine Tuning" of Annual Plan

The sixth step occurs five to six months after the annual plan and budget request have been forwarded to the Board of Regents. This can be thought of as a "fine tuning" step, in which group activity centers have an opportunity to alter the priority ranking of proposals, based upon new and current information. *It should be noted that any suggestion to alter the priority ranking of a program is judged according to the same criteria upon which the original proposals were judged and ranked.* The group activity center can also offer new proposals for review and ranking, based upon information that may not have been available at the time of the original preparation of the plan. This guarantees flexibility in the planning process as well as a continuing opportunity to update and revise the plan. Planning at WVU is therefore a continual process, not a one-time project that results in a finished, permanent document.

Flexibility of Planning

The seventh step is the translation of the annual plan into the budget through the allocation of resources to the proposals contained in the plan, according to the functional allocation of funds to

Seventh Step— Resource Allocation Based upon Plan

the University by the Board of Regents. This preliminary annual plan and budget is then reviewed with each group activity center dean or director before the final annual plan is prepared and translated into a budget for transmission to the Board of Regents.

Changes in Annual Plan

Throughout the year, on a weekly basis, the President's Office meets to receive requests from group activity centers for permission to change their plans for the current year. To preserve the integrity of the system, these requests are subjected to the same decision criteria that were applied to the planning proposals submitted originally. As mentioned previously, these opportunities for implementing changes to the plan are meant to foster flexibility and responsiveness in the planning process. Further, since any changes made to the annual plan are funded with monies retrieved from allocations made to plans that were previously approved but not executed, the institution is able to constantly push its available resources toward the support of its current highest priorities.

Monitoring the Execution of the Plan

In addition to the weekly review of proposals for changes in the plan, the budget office disseminates budget-status reports monthly to the managers of each group activity center and to the President's Office. Since the budget is but a numerical representation of the plan, these status reports provide a mechanism for evaluating how well the plan is being adhered to throughout the course of the year.

THE 1977-78 ACADEMIC PLANNING PROCESS AT WVU

The academic planning process at West Virginia University can be understood best by following the process through its various facets. The process by which the university community addressed planning for the 1977-78 fiscal year is described in chart form in table 1. Specific items and materials that are mentioned in this chart description are discussed in greater detail in subsequent sections of this document. It should be noted that group activity center planning for the year 1977-78 is actually begun in fall 1975, some 21 months prior to the time when the results of the process are actually implemented in the form of the University's operating budget for fiscal year 1977-78, which begins on July 1, 1977. Thus, the period September 1975 through May 1976 is included in this chart description of the academic planning process to indicate this "front end activity." The College of Arts and Sciences is used as an example for this period of time.

College of Arts and Sciences Planning Activities

College of Arts and Sciences

The College of Arts and Sciences at WVU is the University's largest college, encompassing 16 academic departments and five nondepartmental program units. It has approximately 300 full-time faculty, approximately 7,500 students (headcount) enrolled in one

Initially Responsive Planning

Expanding to Include Creative Planning

more college courses during the fall semester, and an operating budget of roughly 8.5 million dollars. As one of the University's 45 group activity centers, the College engages in what can be described as responsive planning, i.e., planning activities performed at the request of the President and the University Council on Planning. Receiving limited emphasis during recent years is college planning that is not necessarily in a response mode, but in a creative, innovative mode for the College itself. For instance, the College of Arts and Sciences intends to dovetail and integrate its own internal needs for planning more closely with the University's planning process as the College gains more experience with the planning process.

College of Arts and Sciences Council on Planning

College Planning Assumptions and Decision Criteria

The College has its own counterpart to the University Council on Planning (as do 30 of the 45 group activity centers) and, in fact, it is called the College of Arts and Sciences Council on Planning. This college council functions for the College in a manner similar to the functioning of the University Council on Planning for the University. The College Council prepares and proposes planning assumptions to the Dean for the College's planning efforts in the same manner that the University Council on Planning prepares and proposes planning assumptions to the President's Office for the University planning process. The College's planning assumptions and therefore its decision criteria for resource allocation are based upon the University planning assumptions but are *not* limited only to these. The College is free to describe different (even contrary) planning assumptions as long as a supportive rationale and justification is provided.

The planning assumptions for the 1977-78 planning year, formulated by the College of Arts and Sciences Council on Planning, are given in table 2 (page 36).

The College of Arts and Sciences Council on Planning formulates a proposed set of planning assumptions and forwards these to the Office of the Dean. While the assumptions proposed by the Council have most often remained intact, it is the Dean who, in the role of planner, determines their final form. Typically, this stage in the planning process is characterized by intense discussions between the Dean and the Council. After review and approval by both the University Council on Planning and the President's Office, the Office of the Dean then distributes the final version of the planning assumptions to the chairpersons and other subordinate administrators for use in the development of annual reports and program proposals at the unit level. The planning activities and schedule for these unit-based activities in the College of Arts and Sciences during the 1975-76 academic year (September 1975-May 1976) were as listed in the following schedule:

September 1975	• Review planning schedule for academic year and receive recommendations for change—*Department Chairpersons and Dean*
	• Distribute statements of objectives and planning assumptions to the chairpersons. Request review and recommendations for achievement of objectives—*Dean's Office*
	• Review of University Council on Planning schedule and discussion of impact upon A & S Planning—*A & S Planning Council*
	• Discussion of format for annual report—*Chairpersons and Dean's Office*
October 1975	• Recommendations for revision of planning assumptions, objectives, and planning schedule from *Chairpersons* to Dean
	• Final recommendations to Dean for annual report format—*Planning Council and Chairpersons*
November 1975 **1st Week**	• Draft of annual report format to chairpersons for review and recommendations—*Dean's Office*
3rd Week	• Revised statements of objectives and planning assumptions distributed to chairpersons—*Dean's Office* (based upon College Council or Planning)
	• Recommendations due to Dean for final draft of annual report format—*Chairpersons*
December 1975	• Annual report format to chairpersons—*Dean's Office*
January 1976	• Reminder to present departmental annual reports to Dean by March 15—*Dean's Office*
March 1976 **2nd Week**	• Annual reports due—*Chairpersons*
Last Week	• Review of annual reports—*Departmental Chairpersons and Dean* (individual appointments)
April 1976 **1st Week**	• Establish implications for budget request—*Dean's Office*
2nd Week	• Distribute list of college budget priorities to chairpersons for review and recommendations—*Dean's Office*
May 1976 **1st Week**	• Recommendations to Dean for revision of budget priorities—*Chairpersons*
2nd Week	• College annual report draft and request budget draft—*Dean's Office*
3rd Week	• Review of annual report and request budget with faculty—General Faculty Meeting
June 1976 **2nd Week**	• Present annual report and request budget to President's Office staff—*Dean's Office*

The total planning process, including both the group activity center planning activities and university level planning activities, can probably be best understood in the context of the entire 24-month period if it is presented in modified Program Evaluation Review Technique form, as given in figure 2 (page 23).

West Virginia University has established four different kinds of planning tools to aid in the various stages of the planning process. All of the tools are alike in one way; that is, they provide a common understanding and a common basis for the various planning activities among the managers of the institution. A common basis is crucial to effective planning in a decentralized system of planning. The tools that WVU has developed are:

Planning Tools—To Provide Common Understanding and Common Basis for Planning

1. An inventory of the past and present of the university
2. A statement of the division of labor within the institution and the objectives of the institution and each of its components
3. Forecasts of the future
4. Special studies

Each of these planning tools is briefly described in the narrative that follows.

INVENTORY OF THE PAST AND PRESENT

Each year the planning office publishes a booklet entitled *Statistical Profiles of West Virginia University.* (See table 3, page 42.) For the 1976-77 planning year, the document presents information and data on WVU in six facets:

Statistical Profiles

- Scope of the University's mission
- Programs
- Staff
- Student body
- Sources of support (financial)
- Facilities

These six facets constitute the standard reporting format for all the planning tools. Use of this six-faceted format throughout the planning process eases the problems associated with the performance of comparative analysis in a decentralized planning process. The reader should note that these six facets are the same as those that structured the reporting of the planning assumptions of both the University as a whole and the College of Arts and Sciences. They represent an institutional chart of accounts for planning. Since the past is but a prologue to the future, the usefulness of this planning tool is that throughout the University, the planning participants all have approximately the same perspective on the history of the institution.

Use of the Same Six Facets on All Planning Tools Aids Longitudinal Analysis

Statement of the Division of Labor and the Objectives of the Institution and Each of Its Components

Program Organization and Program Objectives

The second planning tool is one which provides a common understanding about the division of labor within the institution as well as the objectives of each component. All the major units (group activity centers) of the University are represented in this publication. which is produced every other year and is entitled *WVU Organization*. Sample pages from this document for the 1976-77 planning year illustrate its content (see table 4 [page 45]). Every dean or director is charged with describing both the conceptual and operational objectives of his or her unit. The organizational charts do not describe who reports to whom, nor do they describe channels of communication. Rather, they describe where programs are located in the institution. Thus, the institutional division of labor is expressed in terms of which unit is responsible for which programs of the institution. The reader should especially note that nonacademic group activity centers (e.g., Comptroller) also state their conceptual and operational objectives. This serves to foster a common understanding of the future of the institution across the University, and to aid in the integration of academic planning with fiscal and facilities planning.

Conceptual and Operational Objectives

Forecasts of the Future

Planning Assumptions—Tie Together Program Planning and Resource Allocation

The third planning tool includes the set of forecasts or assumptions on which all planning is based at WVU. The forecasts are published annually in a booklet entitled *Planning Assumptions for West Virginia University,* which embodies in a single document the essential decision criteria for resource allocation by the University. Thus these planning assumptions, along with the statements of objectives, serve to tie planning and resource allocation together at WVU. This tie is seen as critical to the success of planning at WVU.

The forecasting and planning period extends to at least the next decennial census, permitting the use of benchmark data provided from an independent source, the federal government. Like the description of the institution's past, the forecasts deal with six facets of the institution—namely, scope of the University's mission, programs, staff, student body, sources of support (financial), and facilities. Thus both the future and the past of the institution are described through the same "chart of accounts."

All of these assumptions about the future are reviewed and finally approved and issued by the President's Office. Thus, every part of the institution knows what the University anticipates concerning its future. A few sample pages from the University document illustrate the nature of this planning tool (see table 5 [page 49]). The reader should recall the format of the College of Arts and Sciences planning assumptions and note that it is precisely the same as the format used for the University's planning assumptions; indeed, the Arts and Sciences planning assumptions were prepared in response to that format.

Special Studies

Special Studies as Part of Planning

The fourth planning tool is made up of a set of special studies produced by the three units that make up the WVU planning office. These units and their staffs are:

- *Office of the University Architect* (seven staff)
  —two registered professional architects (including the University Architect), one architect in training, a registered professional engineer, two drafting specialists, a secretary
- *Office of Institutional Research* (seven staff)
  —a director, an assistant director, two statisticians, a research technician, two secretaries
- *Office of Facilities Analysis and Utilization* (five staff)
  —a director, two professional staff, a space inventory specialist, a secretary

Analytical Support for Planning

Special studies completed per month number 40 to 50 and often include reports requested by various units of the University for use in support of their planning activities. Thus while planning proposals present various alternatives, the above special studies offer analytical support for the eventual choice of the "best" alternative.

PLANNING FORMS

Three Planning Forms

The forms used university-wide in the planning process are kept to a minimum at WVU. Basically, three forms are used to create uniformity in reporting and ease of review and analysis.

Revision to Current Programs

Current Program Revisions

This form is used to describe proposals for revision to ongoing programs. Included are descriptions of resources required, long-range future funding implications, justification for the proposed revision, and sources and categories of funding. This form, together with the instructions for completing the form, are given in figure 3 (page 25).

New Program Request Form

New Programs

This form is used to report new program results. The form is very similar to the form used to report proposed program revisions. To avoid confusing the intent to report two totally different kinds of program proposals while using such similar forms, the *new program request form* is printed on yellow paper, while the form for program revision requests is printed on blue paper.

The form for new program requests and the instructions for completing it are given in figure 4 (page 29).

Program Priority Listing Form

Priority of Program Requests

The third reporting form is used in listing the program priorities of the group activity center. After each center has completed the preparation of proposals for program revision and proposals for new programs, all proposals are ranked in the order of their importance to the attainment of the center's objectives (set forth in the *WVU Organization* document) based upon the decision criteria expressed in the center's and the University's planning assumptions. This report of program priorities is submitted along with all completed copies of the other two planning forms when the group activity center forwards its annual report and program proposals to the President's Office. This third planning form and the instructions for its completion are given in figure 5 (page 33).

PLANNING ACTIVITIES PECULIAR TO WEST VIRGINIA UNIVERSITY

University Council on Planning

Depth of Participation

It was previously noted that the planning process at WVU relies on participation—both across the breadth of the institution and in depth where "persons other than managers or administrators who are charged with planning" acquire a thorough knowledge of programs, finances, and facilities at every level of the institution. At WVU, depth of participation by such persons is through a unit called the University Council on Planning.

Membership: 9 Faculty, 3 Students, 3 Administrators as Ex Officio

The University Council on Planning is chaired, ex officio, by the Provost for Planning. There are nine members from the faculty and three members from the student body, all of whom are recommended by the University Senate to the President. The senate recommends two persons for every position; the President selects one. These persons do not have constituencies and they are meant to be University statespersons. The primary function of the Council is to bring a broad perspective on University plans and issues in higher education to the University planning process. The members of the Council are not called upon to be planners.

A deliberate attempt to integrate all aspects of planning at WVU is afforded by the ex officio membership on the Council of the University Architect and the Director of the Physical Plant. They attend the meetings of the Council and take part in its deliberations, thus laying the groundwork for tying together facilities planning with academic program planning.

Facilities Planning Tied to Academic Planning

The University Council on Planning establishes an annual plan of work for its activities. The agenda is both specific as to certain tasks and general as to improving the planning process in an overall manner. Table 5 describes the plan of work for the University Council on Planning for a recent year and table 6 (page 57) is the Council's report to the University community on its activities for the same year.

Work Schedule Established

Annual Report

THREE ASPECTS FUNDAMENTAL TO PARTICIPATION IN PLANNING AT WVU

West Virginia University believes that faculty and staff participation in planning must be substantive in nature. At WVU, careful attention is given to three foundations for effective participation.

The first is that persons from the faculty and student body who work with planning must be thoroughly immersed in what is going on at the institution. As mentioned earlier, members of the University Council on Planning are briefed regularly on topics related to higher education on both the national and local levels. Emphasis also is placed on involving members of the Council with the managers of the institution. For example, whenever any of the deans or directors is visited relative to a planning report, a member of the University Council on Planning (faculty or student) chairs the session and reports on the results of the meeting to the Council on Planning.

Thorough Immersion in Planning and Involvement with Managers

The second foundation of sound participation is that students and faculty members should work with a period of time over which their recommendations can have some influence. The appropriate time frame will vary according to the topic; however, there are two extremes. One is that a planner typically should not come before a group and ask it to deliberate over the next century; similarly, one must never come before a faculty and student body to tell them that something was decided yesterday and ask if the decision meets with their approval. *The actual length of the planning period should be based on an economic analysis of the length of time that is needed to influence appropriately a change in the issue being addressed.*

Appropriate Period of Time

Economic Perspective

The third foundation for effective participation in planning is administrative allegiance to the planning process. This standard of behavior guarantees that all program proposals are evaluated by the same process. Even if managers want to make changes to plans in mid-year, as is often the case during the "fine-tuning" activities of March, the proposed changes go through the *same* decisionmaking process as the original plans went through the first time using the *same* decision criteria. In that way, as much as possible, the priorities set for the institution consistently govern decisionmaking.

Administrative Allegiance

Process Is Consistent

Priorities Govern

PERSISTENCE AND RELEVANCE OF THE PLANNING EFFORT

Continuous Effort

An important factor in the planning process concerns the persistence with which the process is applied and the relevance of the planning effort to resource allocation. At West Virginia University, about 15 percent of each manager's time is spent engaged in formal planning activities. One reason for this level of involvement is that all of the plans of the institution are regularly cycled through a scheduled process of review. There is no leather-bound book of plans produced by a single-effort task force at West Virginia University. Rather, at WVU the attempt is to have a set of documents that are living and used—documents that get reviewed annually or biennially at the latest; documents containing plans which play a role, almost daily, in the allocation of resources within the institution. In actuality, planning and resource allocation become a single function at WVU, which as such reduces the use of ad hoc decision-making in resource allocation or at a minimum places that process in its proper perspective.

Planning Affects Resource Allocation

Just as an architect must integrate all the systems in a structure because he or she knows that without such integration the structure will fail, so managers who know that plans are used and reviewed regularly will come to put more effort into their own planning and its integration with that of other managers. Perhaps because of this sense of relevance, the Council on Planning regularly ranks in the top two in the annual poll of members of the Faculty Senate at WVU concerning preferred committee assignments.

IMPETUS FOR ACADEMIC PLANNING

(As expressed by faculty and President's Office staff at WVU)

President of University a "Driving Force"

The initial impetus for academic planning was the recognition by the President of the University that planning was important to the effective management of the institution. When the President took office in 1967, he established a place in the organization at the vice-presidential level for the locus of responsibilities regarding planning. At that time, however, because of the pressures of the time, the person named to the post concentrated mostly on physical planning.

Planning Determines Allocations

While the original impetus for planning was a recognition of its importance in effective management by the President, its continued impetus is now derived in part from the awareness that the academic planning process is the determinant of resource allocation to the academic centers and that only program proposals that flow through the planning process have a chance for review and possible funding. In addition, facility judgments are based only on planning proposals and thus, for example, a facility proposal will be honored only if it is tied to the program planning process. Of course, not all of the rewards are in the form of funding for programs that have been proposed. Some of the rewards have come only in the recognition that the currently difficult decisions related to resource reallocation may not have been as disrupting for WVU as for other institutions since WVU has been in a planning mode and reallocating resources on a regular basis for some time.

Planning Avoids Serious Disruptions

Also, faculty especially believe that the deliberate philosophy of encouraging faculty and student participation in the planning process has contributed to the momentum that has now been generated for continuation of that process. That is, with some 10 percent of the members of the faculty actively involved in the planning process, they have come to expect that a systematic approach to planning will continue.

PURPOSES OF ACADEMIC PLANNING

(As expressed by President's Office staff members)

This issue, as it is phrased, is probably more relevant at institutions that started their planning process as a result of some catastrophe or perceived catastrophe. In that context, the objective of planning might be "to restore some sense or presence of normalcy." At WVU, academic planning was begun because it was recognized as being an important part of effective management. It continues for the same reason. *Its purpose is to tie resource allocation with program planning.*

Planning Is an Important Part of Effective Management

MOTIVATION FOR ACADEMIC PLANNING

(As expressed by faculty and President's Office staff)

The most effective motivation for faculty, chairpersons, directors, deans, etc., to engage in academic planning is for them to become aware that the planning process is tightly woven into the process of resource allocation. It took about two to three years of systematic effort at West Virginia University for that message to be absorbed by a substantial number of the participants in the process. *Planning, as it is carried out at many institutions, is not tied into the resource allocation process and, as a result, many managers, based on their past experience, feel that planning is likely to be just an exercise conducted within the institution because having a planning process is "good."*

Motivation Results Because Planning Determines Allocations

To deliver the message concerning the importance of planning to resource allocation, the President's Office systematically structured regular conferences with the deans and directors, as well as all communications about resource allocation, within the context of the planning process. Attention was given to the statements of planning assumptions and objectives submitted by the group activity center before any concern was devoted to resource allocation matters.

Presidential Commitment and Reinforcement

When the President's Office and the University Council on Planning first worked with the deans and directors to produce statements of objectives and planning assumptions there was not the enthusiasm for the effort that has developed since that first round of discussions was held.

In his public statements, the President of the University gave substantial mention to the planning process. In addition, he took part in the sessions held in association with the various planning activities and, by his example, conveyed to the members of the academic community the importance of their taking planning seriously. While WVU did not have a specific evaluation form, deans, directors, and department chairpersons were evaluated on, among other things, their ability to plan.

Persistence Is Motivation

Another key to effective planning is the persistence of the effort. Continuous planning motivates persons to plan because they can have confidence that they will have opportunities to submit revisions to their proposals and also that there will be opportunities to submit additional phases of particular plans. Persistence of the planning effort gives academic administrators confidence in the planning process and thus causes them to give it more sincere attention than they would if the process were conducted on an *ad hoc* basis.

Difficult to Sustain Motivation

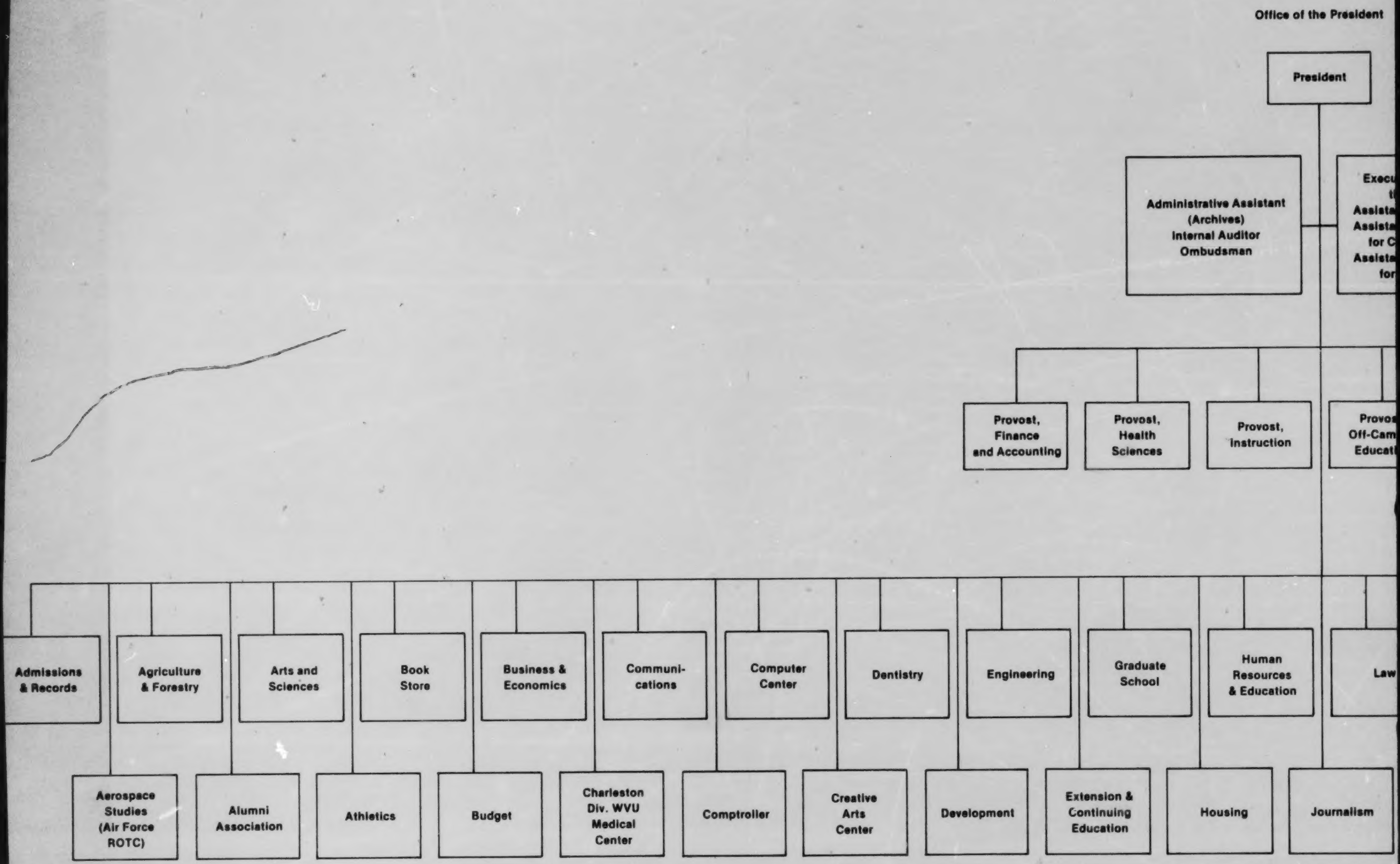
Motivation is a difficulty, even though WVU is continually working at it. For example, each of the provosts has voiced concerns regarding particular characteristics of the planning system which is being used. As a result, there has been a great deal of give-and-take in terms of the design of the system, as well as in terms of the time demands which it makes on its participants.

Time and Energy Commitments Cause Difficulties

Faculty members who serve on the University Council on Planning indicate that it is very difficult to serve in a meaningful way if one has a heavy teaching load and/or research commitments. However, these same faculty are quick to attest to the personal satisfaction that is gained from their service and the advantageous position that they have in terms of "knowing what is going on at the University." Faculty (as well as some members of the President's Office staff) point to the universal difficulty of communication in any large organization regarding the nature of the decisions that are made during the course of the process.

Figure 1

WVU ORGANIZATIO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Human Resources & Education
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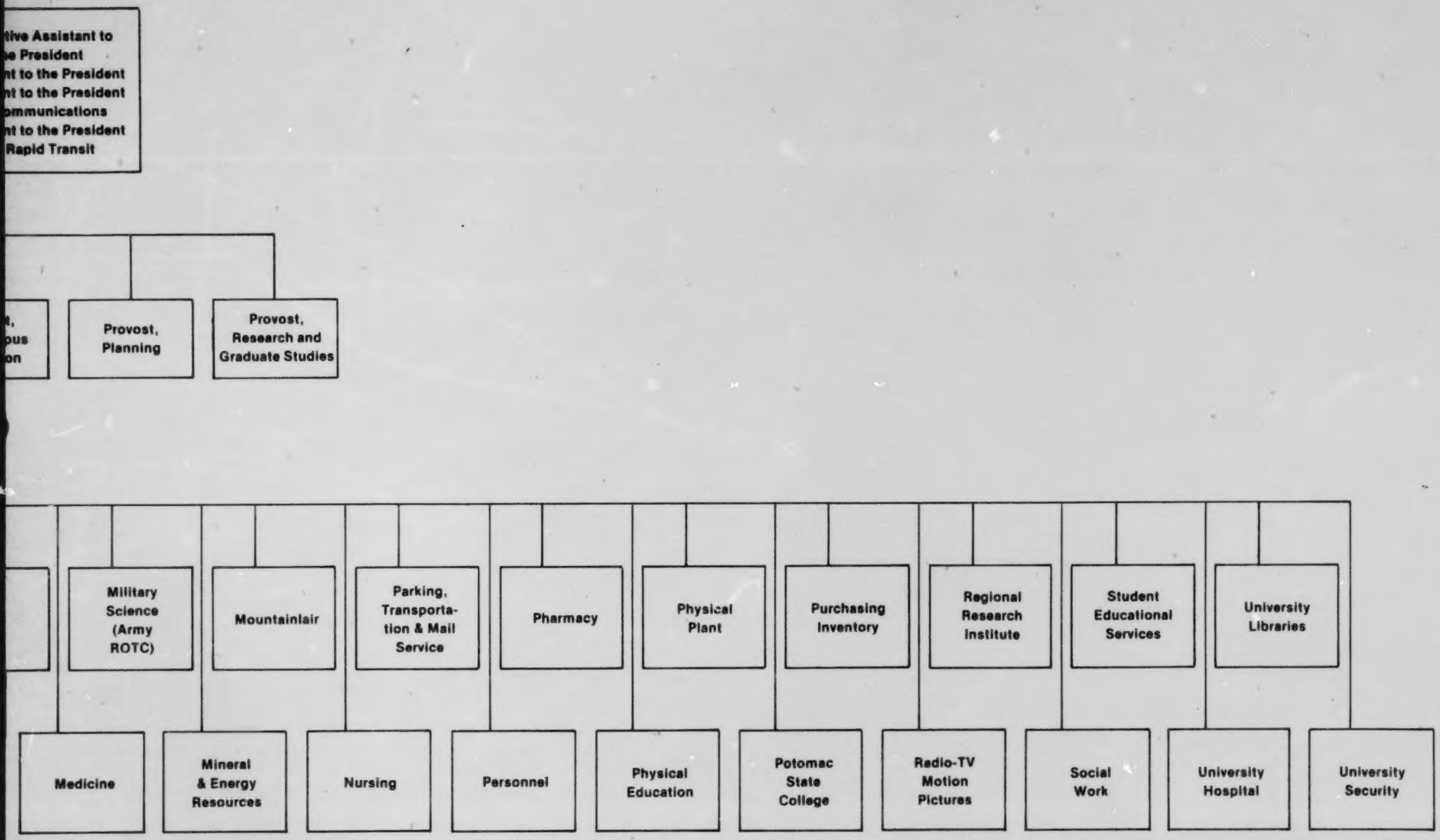
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Inventory
Regional
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Resources
Nursing
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University
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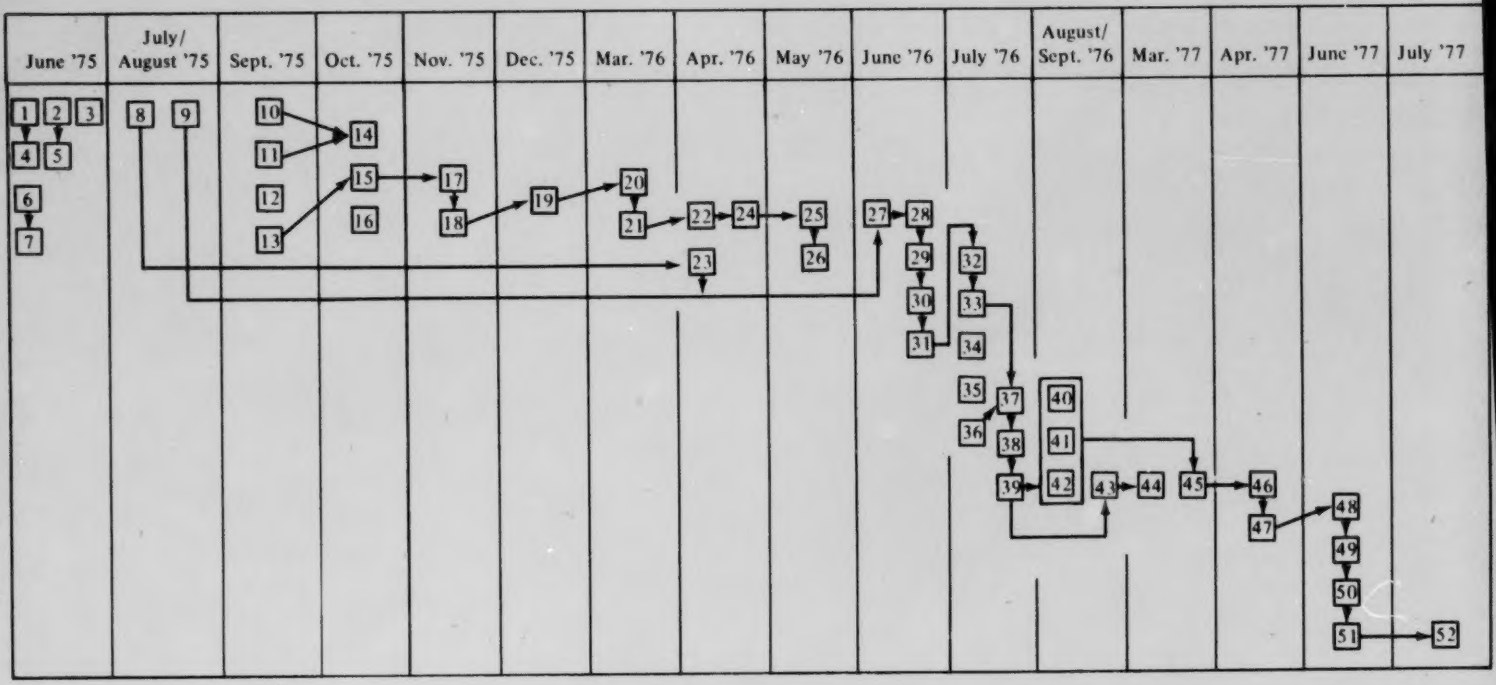
University
Security

Figure 2


June '75
July/ August '75
Sept. '75
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Nov. '75
Dec. '75
Mar. '76
Apr. '76
May '76
June '76
July '76
August/ Sept. '76
Mar. '77
Apr. '77
June '77
July '77

Figure 2—*Continued*

1 University Planning Council submits planning assumptions and enrollment forecast

2 Institutional Research completes preparation of data for each group activity center

3 President's Office completes resource allocation guidelines for 1976-77

4 President's Office approves planning assumptions and enrollment forecast

5 President's Office approves the procedural instructions for developing the 1976-77 annual plan

6 President's Office staff prepares necessary planning materials, analytical studies and supportive information

7 President's Office distributes planning guidelines and materials

8 The University Council on Planning begins the process of developing a revised statement of planning assumptions for the University

9 The Office of Institutional Research begins the preparation of the *Statistical Profiles* booklet for 1975-76

10 College/school reviews planning schedule

11 Dean distributes the objectives and planning assumptions for his school/college

12 Planning council for the school/college reviews the plan of work of the University Council on Planning for 1975-76

13 College/school discusses format for its annual report for 1975-76

14 Chairpersons recommend revisions of assumptions, objectives, and planning schedule to dean/director

15 Chairpersons recommend format for annual report for 1975-76

16 College/school distributes revised objectives and assumptions

17 College/school distributes draft annual report to dean/director

18 Chairpersons recommend revisions of draft annual report to dean/director

19 College/school distributes annual report format to Chairpersons

20 Annual report submitted to dean/director

21 Review of annual report (dean and chairperson)

22 College/school establishes implications of annual report for college/school budget request

23 The University Council on Planning completes proposed draft of the *University Planning Assumptions* and submits them to President

24 College/school distributes list of college/school budget priorities to chairpersons for review

25 Chairpersons recommend revisions to college/school budget priorities

26 College/school prepares operating budget for 1976-77

27 President's Office distributes *University Planning Assumptions* and other planning tools including productivity data produced by the Office of Institutional Research

28 President's Office distributes guidelines to the deans/directors for the preparation of the Annual Plan and Operating Budget Request for 1977-78

29 College/school prepares draft of annual report and budget request

30 College/school reviews draft annual report budget request with faculty

31 College/school presents annual report for 1975-76 and budget request for 1977-78 to President's Office

32 President's Office holds planning conferences with deans and directors

33 President's Office staff evaluates alternative resource allocation schemes

34 President's Office receives budget request guidelines and instructions from the Board of Regents

35 President's Office staff develops list of University-wide program proposals

36 President's Office reassesses objectives and reviews decision criteria to be used in setting University-wide priorities

37 Using decision criteria, President's Office staff establishes University-wide priorities based upon annual reports and budget requests

38 President's Office staff tests budgetary implications

39 President makes decisions for annual plan and operating budget request

40 President's Office staff completes Board of Regents' budget request forms

41 President's Office prepares budget booklet

42 Budget book printed and sent to Board of Regents

43 Brief deans/directors on annual plan so revisions may be started based on feedback

44 "Fine Tuning" of annual plan and budget request by group activity center

45 State Legislature confers on Board of Regents Request for Higher Education

46 State legislature appropriates funds to Board of Regents

47 Board of Regents notifies University regarding funds for operational functions

48 Resources tentatively allocated by President's Office staff according to decision criteria specified by University planning assumptions and Board of Regents guidelines

49 President's Office staff meets with deans/directors to get a reaction to proposed plan

50 President makes final decisions regarding resource allocation

51 "Fine Tuned" Annual Plan and Operational Budget for 1977-78 forwarded to Board of Regents

52 Begin spending per 1977-78 Annual Plan and Operational Budget

Figure 3

REVISION TO CURRENT PROGRAMS FOR 1977-78

Group Activity Center Name ____________________

UAC Name ____________________
UAC Number ____________________
General Activity Name ____________________
General Activity Code ____________________

Priority ______ of ______
Program Classification ______

Budget Office use only
BOR NAME ____ Code ____

RESOURCES REQUIRED OR RELEASED

A.	Personal Services (Fill in assignment information below and enter TOTAL here)	$ ____________
B.	Current Expense	____________
C.	Repairs and Alterations (please describe)	____________
D.	Equipment (please describe)	____________
	TOTAL Resources Requested or Released for 1977-78	$ ____________ (A)

ASSIGNMENT INFORMATION

Assignment	Assignment Title and Code	FTE	Amount
A	________ / ____	____	$ ____
B	________ / ____	____	____
C	________ / ____	____	____
D	________ / ____	____	____
E	________ / ____	____	____
F	________ / ____	____	____
	TOTALS	====	$ ====

FUNDING RECAPITULATION

	State App. Fund 3000	Spend. Auth. Fund 9230	St. Spec. Fund 8610	Other	TOTALS
Personal Services	$ ______	$ ______	$ ______	$ ___	$ ______
Current Expense	______	______	______	___	______
Repairs & Alterations	______	______	______	___	______
Equipment	______	______	______	___	______
TOTALS	$ ======	$ ======	$ ======	$ ===	$ ====== (B)

Figure 3—*Continued*

Brief Description of Proposed Program Revision: ______

Defense of Proposal: (See Instructions for Specific Requirements) ______

Future Funding Implications: ______

Figure 3—*Continued*

PROGRAM CLASSIFICATIONS

1. Prior Commitments

There may be circumstances in which an implied commitment of additional funding for 1977-78 has been given for a certain project, program, or activity. For example, an institution may in the past have received approval to accept a grant or a partial funding allowance which all concerned realized and agreed would require increased funding from the institution during 1977-78. In such cases, a restatement of the facts justifying the needed increases and the date of the original project approval must accompany the budget request in the "Defense of Proposal" section.

2. Growth

Substantial enrollment growth or other increases in work load may indicate a need for increased operating funds for one or more of the categories of Personal Services, Current Expenses, Repairs and Alterations, and Equipment.

Be sure to refer to the previously distributed Resource Allocation Guidelines in projecting financial and staff needs.

3. General Improvements

Certain units may determine that it is essential to embark on a plan for the general upgrading of certain aspects of their operations. For example, library resources may be inadequate to the point of jeopardizing accreditation, or the percentage of faculty holding the doctoral degree may be below acceptable minimum standards. Requests to upgrade such elements as these are appropriate provided the amounts requested with supporting statistics are clearly identified.

REVISION TO ONGOING PROGRAMS
77-78 FISCAL YEAR

Dean/Director

1. Enters Group Name on line under "Group Activity Center Name."
2. Enters Unit Activity Center Name and UAC Number in area marked "UAC Name and Number."
3. Enters General Activity Name and 2-digit code.
4. Enters priority number of this particular proposal in area marked "Priority__."
5. Enters the appropriate designator, Growth, General Improvement, Prior Commitment, in the area marked "Program Classification."
6. Enters total number of proposals in the area marked "Priority XX of____."
7. Enters Personal Services, Current Expense, Repairs and Alterations (brief explanation), and Equipment (brief explanation) dollars on appropriate line in "Resources Required or Released" area.

Figure 3—*Continued*

8. Enters the total of Personal Services, Current Expense, Repairs and Alterations, and Equipment in the area marked "Total Resources Requested or Released for 1977-78." This total should agree with the total in Item 18.

9. After "Assignment A," enters the appropriate 10-digit title code and the written University title in the area marked "Assignment Title and Code."

10. Enters the FTE generated by this assignment in the area marked "FTE" (in two decimal places).

11. Enters the total dollars associated with this assignment in the area marked "Amount."

12. Repeats steps 9 through 11 for each new assignment as needed. Use additional sheet if necessary for additional assignments.

13. If the revision indicates the discontinuance of an assignment(s), repeats steps 9 through 11 with the placing of parentheses around each item of information (xxxx).

14. Enters the total FTE for the assignment in area marked "TOTALS."

15. Enters the total dollars associated with the assignment in the area marked "TOTALS $."

16. Enters the funding requirements by source for Personal Services, Current Expense, Repairs and Alterations, and Equipment in the appropriate area in segment marked "Funding Recapitulation."

17. Enters the totals for Personal Services, Current Expense, Repairs and Alterations, and Equipment in "TOTALS" area.

18. Enters the totals for State Appropriated Grants, Income, Other, and Totals in "TOTALS" area. Be sure this total agrees with total in Item 8.

19. Turns to reverse side of form to complete narrative information.

20. Writes a brief description of the program revision in area marked "Brief Description of Proposed Program Revision."

21. Enters defense of proposal being sure to:

    A. Identify the operational objective as listed in the booklet, *W.V.U. Organization,* which this proposal will help achieve.

    B. Identify the planning assumption as reported in the *W.V.U. Planning Assumptions* 1976-1985 to which this proposal relates.

    C. Identify how this proposal will help to alleviate any specific weaknesses or enhance any specific strengths which were outlined in your annual report.

22. Indicates the nature of future funding implications, if any, in area marked "Future Funding Implications."

Figure 4

NEW PROGRAM REQUEST FOR 1977-78

Group Activity Center Name ______

Program Name ______
UAC Number (1st 5 digits) ______
General Activity Name ______
General Activity Code ______

Budget Office Use Only:
BOR Classification
Name: Code:

Priority of ______ of ______

RESOURCES REQUIRED

A.	Personal Services (Fill in Assignment information below and enter total here)	$ ______
B.	Current Expense	______
C.	Repairs and Alterations (Please describe)	______
D.	Equipment (Please describe)	______
	TOTAL New Resources Requested for 1977-78	$ ______ (A)

ASSIGNMENT INFORMATION

Assignment	Assignment Title and Code	FTE	Amount
A	______ / ______	______	$ ______
B	______ / ______	______	______
C	______ / ______	______	______
D	______ / ______	______	______
E	______ / ______	______	______
F	______ / ______	______	______
	TOTALS	______	$ ______

FUNDING RECAPITULATION

	St. App. Fund 3000	Spend. Auth. Fund 9280	State Spec. Fund 8610	Other	TOTALS	
Personal Services	$ ______	$ ______	$ ______	$ ___	$ ______	
Current Expense	______	______	______	___	______	
Repairs & Alterations	______	______	______	___	______	
Equipment	______	______	______	___	______	
TOTALS	$ ______	$ ______	$ ______	$ ___	$ ______	(B)

Figure 4—*Continued*

Brief Description of Proposed Program Revision: ______

Defense of Proposal: (See Instructions for Specific Requirements) ______

Future Funding Implications: ______

Figure 4—*Continued*

NEW PROGRAM REQUEST
77-78 FISCAL YEAR

DEAN/DIRECTOR

1. Enters Group Name on line under "Group Activity Center Name."
2. Enters Proposed Program Name in area marked "Program Name."
3. Enters the first 5 digits of the UAC Number. This should represent the department activity center in which the new program (UAC) will be located.
4. Enters General Activity Name and 2-digit code.
5. Enters priority number of this particular proposal in area marked "Priority___."
6. Enters total number of proposals in the area marked "Priority XX of_______."
7. Enters Personal Services, Current Expense, Repairs and Alterations (brief explanation), and Equipment (brief explanation) dollars on appropriate line in "Resources Required" area.
8. Enters the total of Personal Services, Current Expense, Repairs and Alterations, and Equipment in the area marked "Total New Resources Requested for 1977-78." Be sure this total agrees with total in Item 17.
9. After "Assignment A," enters the appropriate 10-digit title code and the written University title in the area marked "Assignment Title and Code."
10. Enters the FTE generated by this assignment in the area marked "FTE" (in two decimal places).
11. Enters the total dollars associated with this assignment in the area marked "Amount."
12. Repeats steps 9 through 11 for each new assignment needed. Use additional sheets if necessary.
13. Enters the total FTE for the assignment in area marked "TOTALS."
14. Enters the total dollars associated with the assignments in area marked "TOTALS $."
15. Enters the funding requirements by source for Personal Services, Current Expense, Repairs and Alterations, and Equipment in the appropriate area in segment marked "Funding Recapitulation."
16. Enters the totals for Personal Services, Current Expense, Repairs and Alterations, and Equipment in "TOTALS" area.
17. Enters the totals for State Appropriated Grants, Income, Other, and Totals in "TOTALS" area. Be sure this total agrees with total in Item 8.
18. Turns to reverse side of form to complete narrative information.
19. Writes a brief description of the new program in area marked "Brief Description of Proposed Program."
20. Enters defense of Proposal being sure to:
    A. Identify the operational objective as listed in the booklet, *W.V.U. Organization*, which this proposal will help to achieve.

Figure 4—*Continued*

B. Identify the planning assumption as reported in the *W.V.U. Planning Assumptions* 1976-1985 to which this proposal relates.

C. Identify how this proposal will help to alleviate any specific weaknesses or enhance any specific strengths which were outlined in your annual report.

21. Indicates the nature of future funding implications, if any, in area marked "Future Funding Implications."

Figure 5

1977-78 PROGRAM PRIORITIES

Group Activity Center Name ______________________________

Priority	New Program or UAC Name in Priority Order	Prog. Class.	FTE	Required Funding				Total	BOR Class.	POS Class.
				Pers. Serv.	Curr. Exp.	R & A	Equip.			
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										
16										
17										
		TOTALS								

Figure 5—*Continued*

1977-78 PROGRAM PRIORITIES
FISCAL YEAR 77-78

DEAN/DIRECTOR

1. Enters Group Activity Center Name in area marked "Group Activity Center Name."
2. Enters the program proposal which you deem to have top priority after item 1 under area marked "New Program or UAC Name in Priority Order." If no new programs or program revisions are proposed, enters "NONE" after item 1 in column marked "New Program or UAC Name in Priority Order."
3. Enters the paragraph number of the booklet, *W. V. U. Organization,* to which this request is related.
4. If new program, enters "New Program" under area marked "Program Classification."
5. For other than new program, enters the designator used under Program Classification on the "blue form" in area marked "Program Classification."
6. Enters total FTE required for the program as recorded on the appropriate blue or yellow form in area marked "Estimated Impact on Funding—FTE."
7. Enters total of estimated dollars by major category of expenditures for the program as recorded on the appropriate blue or yellow form in area marked "Required Funding."
8. Leaves BOR Classification column blank.
9. Leaves POS Recommendation column blank.
10. Repeats steps 2 through 9 for each program in descending priority order.
11. Enters signature and date on final line of the form.

Table 1

PLANNING PROCESS FOR 1977-78

September '75 - May '76	June '76	July '76	August '76	March '77	June '77	July '77
Group Activity Center Engages in Its Group Planning Process for Reporting to University in June '76 1. Annual Report for 1975-76 2. Group Activity Center Planning Assumptions 3. Program Proposals 4. Group Activity Center Statements of Objectives and Organizational Structure	1. Group Activity Center Forwards Annual Report for 1975-76 to University 2. Group Activity Center Forwards Program Proposals to University	1. President's Office Staff Holds Individual Conferences with Group Activity Center Regarding Annual Report and Program 2. President's Office Staff Develops 1977-78 Annual Plan and Budget Request	1977-78 Annual Plan and Budget Request Forwarded to Board of Regents by President's Office	"Fine Tuning" of 1977-78 Annual Plan and Budget Request. Allows for Revisions to Intended Plans as well as Incorporation of New or Unanticipated Matters on the Part of Group Activity Centers	1. "Fine Tuned" Annual Plan and Operating Budget for 1977-78 Forwarded to Board of Regents by President's Office 2. Resources Allocated Based Upon Criteria Specified by University Planning Assumptions and Statements of Objectives	Begin Spending per 1977-78 Annual Plan and Operational Budget

Table 2

COLLEGE OF ARTS AND SCIENCES

ASSUMPTIONS FOR THE 1976-1985 PLANNING PERIOD

1.0 Scope of the College's Mission:

1.1 **The People of West Virginia.** The primary concern of the College of Arts and Sciences will continue to be the present and future esthetic, cultural, social, educational, intellectual, and economic needs of the people of the state of West Virginia.

1.2 **The Concerns of the Nation.** As the liberal arts college of the State's land-grant and comprehensive university, the College of Arts and Sciences will continue to operate in national and international theaters in major activity areas.

1.3 **Undergraduate Education.** The College of Arts and Sciences will continue (1) to provide general education courses that will enable students to obtain a broad basis for understanding problems of the state, region, nation, and world; (2) to offer a comprehensive array of baccalaureate degree programs to persons wishing to pursue their undergraduate education in a university environment; (3) to prepare students to enter baccalaureate degree programs in other colleges and schools of the University; (4) to prepare students to enter graduate and professional programs of service to the state, region, nation, and world.

1.4 **Graduate Education.** Through the Graduate School of West Virginia University, the College of Arts and Sciences will continue to offer a comprehensive array of graduate programs as a part of the distinctive mission of the University within the West Virginia System of Higher Education.

1.5 **A Statewide Mission.** The College of Arts and Sciences will continue to serve the state and community through programs of public service, research, and continuing education. Through the Center for Extension and Continuing Education, the College will continue to serve the needs of the state by offering graduate courses at the Graduate Centers.

2.0 Programs:

2.1 **Program Emphases for the Planning Period.** Among the various academic programs, the following will be given special attention:

2.1.1 **Core Curriculum and Interdisciplinary Undergraduate Efforts.** Core, lower division, and interdisciplinary programs (e.g., the Interdepartmental Major, MDS courses) will be continually strengthened through faculty recruitment, joint appointments, and program improvement. Furthermore, upper-division major degree programs will be improved, particularly through the reassignment of faculty responsibilities, revision of curriculum, adherence to admission policies and standards, and better utilization of existing resources.

2.1.2 **Interdisciplinary and Multidisciplinary Graduate Programs.** New graduate programs, particularly interdisciplinary programs, will be developed at the doctoral level with greater attention to societal needs; and at the master's level with more orientation toward the practical application of knowledge (e.g., along the lines of existing programs such as the Master's in Public Administration, and Clinical Psychology). Recognizing that the role of existing graduate programs to pre-

Table 2—*Continued*

pare college faculty alone will change, ways will be found to make these programs more viable; they will be maintained or upgraded through funds by proposed Board of Regents' formulae for research and graduate training.

2.1.3 **Academic Advising.** Advising of students, particularly during transition periods such as entrance to degree programs, change of programs, graduation, career selection, withdrawal for academic or personal reasons, and further post-baccalaureate academic work, will continue to improve through better academic advising, particularly in respect to alternative career opportunities.

2.1.4 **Efforts Applied to West Virginia's Needs.** The College will seek more precise ways to serve state and community through programs of public service, research, and continuing education (degree, non-degree, credit, and non-credit), including directed self-study, television courses, workshops, short-term and evening programs, and special topical programs open to the public. Efforts also will be directed to drawing the Board of Regents Bachelor of Arts degree program to the attention of potential candidates.

2.1.5 **Faculty Development.** The College will make more concerted efforts to support faculty in their efforts to maintain or expand teaching, research, and service competence through additional leave time, research grants, interdisciplinary workshops, and other appropriate means.

2.1.6 **Innovation in Instruction.** Provision of supplementary instructional opportunities will continue to be provided through the use of media, individualized study, credit by examination, residence halls programs and the Honors Program, as well as through individualized attention to students needing specific kinds of help, especially in communications skills by means of such programs as offered by the Writing Laboratory and the Reading Clinic. The College expects to contribute further to innovation in instruction by continuing to offer workshops on the improvement of instruction, personalized systems of instruction, and publication of OPTI (Occasional Papers on Techniques in Instruction). Further contributions to the development of students will continue through orientation, residence halls, and academic advising programs.

2.1.7 **Academic Support Programs.** Academic support services such as those provided by the Office of Personnel, Physical Plant, the Bookstore, the Office of Grants and Contracts, WVU Foundation, Institutional Research, and the University libraries will assist the College of Arts and Sciences in its program implementation.

2.1.8 **Program Flexibility.** The modification and development of programs will offer students maximum opportunity for vertical and lateral mobility and maximum flexibility in completing requirements for degree programs. Interdepartmental majors especially will contribute toward this end.

2.1.9 **Articulation with Off-Campus Centers.** The College will continue to strive for improvement of articulation of programs and movement of students and staff, as between WVU and Potomac State College, the graduate centers, and the off-campus divisions of individual schools and colleges.

Table 2—*Continued*

2.2 **Effect of Regional Contract Programs.** The College will continue to explore opportunities for provisional development of the "regional contract" concept and other similar types of programs.

2.3 **The Future Demand for Summer Programs.** The College will continue to develop summer programs that appeal primarily to persons pursuing licensure or certification, especially in the education areas; to those continuing graduate studies, especially in the laboratory sciences; to undergraduates who seek to accelerate completion of their degree programs, or to make up for time lost due to changed career plans; and to students interested in special programs, workshops, etc. In addition, programs will continue to be developed to provide research and professional development opportunities for faculty of West Virginia colleges.

2.4 **Co-Curricular Activities.** Ample opportunities will be provided for students to develop their cultural and social interests in concurrence with their academic progress.

3.0 Staff:

3.1 **Academic Stature.** The College of Arts and Sciences will continue its efforts to attract, retain, and develop faculty who hold national reputations in scholarship.

3.2 **Commitment to Teaching, Research, and Service.** Members of the faculty of the College are expected to commit themselves to a full professional effort and to distinguish themselves in at least two of the three educational functions (teaching, research, and service) which characterize a comprehensive state university and land-grant institution.

3.3 **Faculty Composition.** During the planning period, an increasing percentage of the faculty will be tenured; its average age will increase; it will include more women and members of minority groups and a higher percentage of persons having a terminal degree. At the same time, because of the nature of the academic market, the greatest number of additions will be at the assistant professor level.

3.4 **Professional Development.** More members of the faculty and staff will seek leave for the purpose of upgrading their talents or changing from one discipline to another. There will be an increase in continuing education programs for faculty and staff members.

3.5 **Support Personnel.** The Board of Regents' funding formula for FTE nonprofessional to FTE professional staff will reflect more adequately the needs of those college faculty expected to be productive in research, as well as teaching and service. The continued review of support services to assure adequate staff positions will be essential to efficiency and increased effectiveness throughout the College.

3.6 **Equal Opportunity and Affirmative Action.** The College will continue its efforts to follow the Equal Opportunity and Affirmative Action Guidelines in the employment of new staff and the promotion, compensation, and retention of existing staff.

4.0 Student Body:

4.1 Anticipated Enrollment Patterns:

Table 2—*Continued*

4.1.1 Foundation Level. The College of Arts and Sciences will continue to provide individualized attention to those students with specific needs for development of basic skills, especially in communications. In particular, services provided by the Writing Laboratory, the Orientation programs, the Academic Advising Center, and Peer Advising will see an increasing demand.

4.1.2 Undergraduate. It is expected that undergraduate enrollment patterns in the College of Arts and Sciences will reflect general University trends during the planning period.

4.1.3 Graduate. Graduate enrollment will increase but at a rate considerably slower than for the entire University. Major increases will occur in the physical and mathematical sciences.

4.1.4 Unclassified. Through improvements in academic advising vis-a-vis career plans, it is anticipated that the number of unclassified students will decline during the planning period.

4.1.5 Overall Enrollment. The College of Arts and Sciences will continue to enroll approximately 80 percent of the total Freshmen within the University, particularly because of the role of the College in respect to general education, regardless of degree program.

4.1.6 Summer Programs. Student enrollment in summer programs will remain stable, with some increases in particular areas being made possible as various scheduling options are tested.

4.2 Characteristics of the Student Body:

4.2.1 Academic Ability of Entrants. The College of Arts and Sciences expects that the historical attraction of students with better-than-average abilities toward the University will continue and that a representative percent will enroll in degree programs in Arts and Sciences. Many of these students, working with their academic advisers, will devise new ways to continue in traditional programs with minors and related course work in other colleges so as to provide themselves with a less traditional "liberal" education.

4.2.2 Tendency to "Stop-Out." The College expects that a relatively small, but increasing, number of students will discontinue their University education for short periods of time, later to return.

4.2.3 Composition. New opportunities for women and minorities will cause shifts in the sexual, racial, national origin, and age distributions of the student body; such shifts will be reflected in changes in academic programs and student services. In general, economic and society changes suggest that more part-time students will develop and that the College will have to respond with more flexible program options, particularly for the older student.

4.2.4 Term of Residence. Because of involvement in part-time employment and because of changes in career plans, undergraduates will continue to require an average of nine or more semesters in residence to complete their degrees. At the same time, other students will utilize advanced placement and credit by examination options to reduce the overall length of the traditional undergraduate career. New programs

Table 2—*Continued*

are already being developed to serve students by offering them more career-oriented options integrated with the traditional liberal arts.

5.0 Sources of Support:

5.1 **Research Funding from Other Than State Appropriations.** The College expects an increase in the dollar volume of research funding from outside sources representative of that anticipated in the University as a whole, especially in areas of national concern. Increased efforts by faculty to attract such funds will continue.

5.2 **Extension and Service Funding from Other Than State Appropriations.** Such funds may increase with greater faculty efforts to seek support for special activities. A significant reallocation of funds among programs and increased support from both the state and/or user charges will have to be achieved in order to fund new programs or even to maintain existing ones.

5.3 **Instruction Funding from Other Than State Appropriations.** Although the costs of current programs will continue to rise owing to external economic pressures, the College anticipates a continuation of some special grants to develop new methods of instruction and/or to improve instruction in certain disciplines.

5.4 **State Appropriated Funds.** State appropriated funds will not be increased significantly to develop new programs. Most new program development therefore will be at the expense of existing programs.

5.5 **Internal Reallocation of Funds.** The College will continue to make internal reallocations of funds which reflect changes in student enrollments, demand for programs, and other areas of responsibility.

5.6 **Program Costs.** The costs associated with most current programs will rise at a rate within the range of 8-15 percent per year due to external economic pressures alone.

6.0 Facilities and Equipment:

6.1 **New Construction and Renovation.** The College will be located principally on the Downtown Campus during the planning period. Facilities occupied by the College will be subject to extensive renovation. Renovation of Clark Hall should remain the University's top priority for reasons of improved health, safety, and instruction. New construction should be undertaken to improve energy research facilities and animal research and holding facilities.

6.2 **Repairs and Alterations.** It is expected that sufficient funds will be available in the funding category *Repairs and Alterations* to upgrade as well as maintain the physical integrity, safety, and attractiveness of facilities on the Downtown Campus wherein most of the functions of the College will continue to be fulfilled.

6.3 **Allocation of Space.** It is expected that future allocation of "University space" will increasingly meet the needs of the College for support of current and anticipated program needs with the greatest student enrollments, particularly as programs of other colleges move into expanded, new, or renovated facilities.

6.4 **Equipment.** University equipment monies from general revenue will be used primarily for the support of instruction and related University amenities.

Table 2—*Continued*

Emphasis will be given to the replacement of outmoded, depreciated, or worn-out equipment. New equipment will be purchased as justified by program needs. Funding for research equipment will be primarily through sources other than state appropriations, e.g., gifts, grants, and contracts. Improved inventory procedures will lead to the more effective utilization of equipment throughout the University.

Table 3

STATISTICAL PROFILES OF WEST VIRGINIA UNIVERSITY

1976-77

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Table 4

OFFICE OF THE PRESIDENT

OBJECTIVES

Conceptual

To design and maintain an organization and staff which will insure maintenance of the basic university functions of instruction, graduate study and research, off-campus education, health science coordination, planning, and fiscal control.

Operational

1. To develop and maintain institution-wide attention to instruction, at all academic levels.

2. To develop and maintain institution-wide attention to promotion of off-campus educational activities in all academic areas.

3. To develop and maintain institution-wide attention to and promotion of graduate studies and research.

4. To develop and maintain concern with health care, health sciences education, safety, and sanitation throughout the institution.

5. To develop and maintain institution-wide attention to planning, at all levels and in all activities.

6. To develop and maintain institution-wide fiscal budgeting, fiscal reporting, and fiscal control.

7. To provide adequate and constructive communication with the mass media and within the University.

8. To develop sufficient information on internal and external University activities to keep President's Office decisionmaking adequately informed.

COLLEGE OF ARTS AND SCIENCES

OBJECTIVES

Conceptual

1. To help all students attain a basic understanding in the humanities, social sciences, mathematics, and natural sciences as necessary undergirding for study in a more specialized program.

2. To enable arts and science degree candidates to reach an in-depth understanding in an area of knowledge, as well as the ability to adapt to change which is inherent in the modern technological society.

3. To develop and encourage the ability of individuals to plan for continued intellectual development, self-improvement, and career proficiency.

Table 4—*Continued*

4. To prepare well-trained individuals in selected applications of the basic disciplines for meeting needs in the state, region, nation and world.

5. To consult with and advise state, regional, national and international groups.

6. To discover and develop, through research and other scholarly activities new information and skills.

Operational

1. To give all students enrolled in other schools and colleges of West Virginia University required graduate, upper-division and lower-division instruction from the College of Arts and Sciences.

2. To educate potential entrants into medical, dental, law, and graduate schools.

3. To give all students who are enrolled in pre-business and economics, pre-education, pre-journalism, pre-pharmacy, pre-nursing, pre-medical technology, pre-social work, and pre-physical therapy curricula the basic elements of a liberal arts education.

4. To place all qualified students in an academic degree program by the time they complete 70 credit hours.

5. To educate an increasing percentage of those students entering baccalaureate, master's, and doctoral level degree programs.

6. To increase student awareness of the opportunity for developing individual degree programs through the Interdepartmental Major Program.

7. To reduce the percentage of qualified students who do not complete their academic programs and to provide new opportunities for those who may have had to interrupt their undergraduate or graduate education.

8. To increase the percentage of eligible students enrolled in the college-wide Honors Program.

9. To insure that all students enrolled in the College effectively utilize the academic advising and related counseling service available to them through the Academic Advising Center and departmental advising systems.

10. To enable the people of West Virginia to continue intellectual growth and development through participation in continuing education programs.

11. To maintain, develop, and continually improve a faculty of experts.

12. To provide continuing education programs to further professional growth and development of faculty at WVU, other state colleges, and public schools.

13. To assist personnel in education, government, professions, business, and industry to attain further education through special conferences and institutes.

14. To encourage and support research and other scholarly activities in the disciplines represented in the College.

Table 4—*Continued*

COMPTROLLER'S OFFICE

OBJECTIVES

Conceptual

1. To maintain the official financial records of the University.
2. To see that the University's accounting systems provide information to insure the maximum control over the University's resources.
3. To maximize the utilization of accounting and financial data.
4. To see that employees have adequate information to make prudent decisions about available fringe benefits.
5. To maintain an inventory of all equipment owned by and assigned to the University.

Operational

1. To insure that codes applied to financial data are accurate and reasonable.
2. To serve as custodian of all University funds during the periods of collection and expenditure.
3. To advise the Office of the President concerning the impact on cash and operations involved with new budget proposals.
4. To keep audit exceptions related to the recording of financial transactions to a minimum.
5. To function as the banking agency for all University operations.
6. To insure the timely and accurate deposit of University funds with local banks and the State Treasurer's Office.
7. To insure that funds owed the University are billed and collected promptly.
8. To advise the President's Office of any deteriorating or abnormal cash positions of any units of the University.
9. To insure that all cash transactions for which the University has legally obligated itself are consummated in accordance with those covenants.
10. To insure that the University transmits its bills to Charleston for payment on time and enjoys a favorable credit rating.
11. To prepare and/or examine financial reports for the University or operating division as required to satisfy external reporting requirements.
12. To assume responsibility for preparation and review of indirect cost proposals required for reimbursement of overhead costs on federal grants and contracts. To coordinate data flow with other University data base managers.

Table 4—*Continued*

13. To coordinate financial transactions and review of recorded results with WVU Foundation, Inc.

14. To coordinate the University's insurance needs with the State Board of Insurance and reporting of them through the President's Office.

15. To work with State Treasurer's Office to facilitate investment of excess funds.

16. To provide historical reports of University cash data as required.

17. To insure that all University business offices are advised of methods of handling financial transactions to expedite processing through the University/State systems.

18. To serve as consultant to University managers in design, implementation, and monitoring accounting systems.

19. To assist University business offices in developing management accounting reports for University business activities (Book Store, Mountainlair, etc.) in accordance with generally accepted accounting principles.

20. To coordinate accounting for major capital expansion projects with Board of Regents and the state.

21. To insure that all employees are paid promptly insofar as the payroll process is within the control of the University.

22. To insure that employees have adequate counseling available concerning fringe benefits.

23. To manage the appropriate data base of information necessary to account for movable assets either owned by or assigned to the University/State and to assure that appropriate procedures are carried out to monitor and check the availability and utilization of these assets.

24. To maintain liaison with the appropriate state agencies concerning WVU's cash matters.

25. To insure that the University is in compliance with applicable federal, state, and local laws and regulations concerning the management of its financial affairs.

26. To insure that the University's accounting records are in agreement with those maintained in the appropriate state agencies.

Table 5

ASSUMPTIONS FOR THE 1976-1985 PLANNING PERIOD FOR WEST VIRGINIA UNIVERSITY

1.0 Scope of the University's Mission:

1.1 **The People of West Virginia.** The primary concern of the University will continue to be the present and future esthetic, cultural, social, educational, intellectual, and economic needs of the people of the State of West Virginia.

1.2 **The Concerns of the Nation.** As the State's land-grant and comprehensive university, West Virginia University will continue to operate in national and international theaters in its major activity areas.

1.3 **Center for Graduate and Professional Education.** The distinctive mission of the University within the West Virginia System of Higher Education will be to serve as the center for graduate and professional education and training, research, extension, public service, and continuing education.

1.4 **Undergraduate Education.** West Virginia University will continue to offer a comprehensive array of baccalaureate degree programs to persons wishing to pursue their undergraduate education in a university environment.

1.5 **A Statewide Institution.** The University will continue to maintain a physical presence in each of West Virginia's fifty-five counties through the Center for Extension and Continuing Education and in areas of special need through the presence of: graduate centers; research and demonstration facilities; and divisions of specific schools. The present branch relationship with Potomac State College will continue tending toward even more complete complementarity and integration of activities, through the planning period.

2.0 Programs:

2.1 **Program Emphases for the Planning Period.** Among the various academic programs the following (not listed in priority order) will be given special attention:

2.1.1 **University Core Curriculum and Interdisciplinary Undergraduate Efforts.** The undergraduate core curriculum and interdisciplinary efforts at the undergraduate level whether the latter are a part of the core or not.

2.1.2 **Interdisciplinary and Multidisciplinary Graduate and Professional Programs.** Graduate and professional programs, especially those which are attempting to achieve both interdisciplinary and multidisciplinary involvement of faculty and students.

2.1.3 **Counseling and Academic Advising.** Student counseling, especially at the point of first contact, during the lower division experience, and at the point of separation, whether by graduation, stop-out, drop-out, or transfer. During the planning period, special attention also will be given to the counseling and academic advising needs of older students and those of any age who are enrolled on a part-time basis.

Table 5—*Continued*

2.1.4 **Efforts Applied to West Virginia's Needs.** Such programs as, for example, land use planning, improvement of government at all levels, coal mining and coal utilization, etc., which precisely serve the State and its communities through research, public service, and instruction both degree and nondegree, credit and noncredit.

2.1.5 **Faculty Development.** The development of a more concentrated effort to support faculty members in their attempts to maintain or expand teaching, research, and service competence through additional leave time, research grants, interdisciplinary workshops, and other appropriate means.

2.1.6 **Innovation in Instruction.** Educationally sound and innovative proposals for instruction making use of a variety of experimental and tested materials, individual study, credit by examination, experiential learning, residence hall programs, and other programs which broaden the educational benefits provided by the University. Concerning off-campus programs, the thrust will be toward the development of more effective methods of instruction while maintaining the integrity of the learning experience.

2.1.7 **Academic Support Programs.** Various academic support programs such as those administered by the Office of Personnel, the University Libraries, the Office of Physical Plant, etc.

2.1.8 **Program Flexibility.** The modification and development of programs to offer students maximum opportunity for vertical and lateral mobility and maximum flexibility in completing the requirements for majors and degree programs.

2.1.9 **Career and Technical Programs.** The continued diversification of career and technical programs at Potomac State College to accommodate the training needs of students throughout the state.

2.1.10 **Articulation With Off-Campus Centers.** The continued improvement of articulation of programs and movement of students and staff as between WVU and Potomac State College, the graduate centers, and the off-campus divisions of individual schools and colleges. In the Health Sciences there will be an increase in the use of program affiliation agreements with off-campus agencies such as hospitals, the Veterans Administration, etc. These will permit the free movement of staff and students between the University and the community setting, for both clinical instruction and research purposes.

2.2 **Effect of Regional Contract Programs.** It is anticipated that more of the specialized programs at West Virginia University will be designated as "regional contract programs" for which other states will contract to send qualified students. Conversely, the University will be affected by the establishment of "regional contract programs" at other institutions associated with the Southern Regional Education Board.

2.3 **The Future Demand for Summer Programs.** Summer programs will be developed primarily to appeal to persons pursuing licensure or certification, especially in the education areas; those continuing graduate studies, especially in the laboratory sciences; undergraduates who seek to take courses unavailable during their regular terms, to accelerate completion of their degree programs, or to make up for time lost due to changed career plans; and students interested in special programs, workshops, etc. Additionally,

Table 5—*Continued*

programs will be developed to provide research and professional development opportunities for faculty of West Virginia colleges.

2.4 **Co-Curricular Activities.** Ample opportunities will be provided for students to develop their cultural, social, and recreational interests in concurrence with their academic progress.

3.0 **Staff:**

3.1 **Academic Stature.** West Virginia University will continue to develop, to attract, and to hold faculty members with national stature in their fields.

3.2 **Commitment to Teaching, Research, and Service.** Faculty members at West Virginia University will commit themselves to a full professional effort in the sense that they should distinguish themselves in at least two of the three primary functions (teaching, research, and service) which characterize a comprehensive state university and land-grant institution. Faculty at Potomac State College will give principal effort to instruction.

3.3 **Faculty Composition.** During the planning period, an increasing percentage of the faculty will be tenured; its average age will increase; it will include more women and members of minority groups, and a higher percentage of persons having a terminal degree.

3.4 **Professional Development.** More members of the faculty and staff will seek leave for the purpose of upgrading their talents or changing from one discipline to another. There will be an increase in continuing education programs for faculty and staff members.

3.5 **Support Personnel.** The Board of Regents' funding formula for FTE professional to FTE professional staff will reflect adequately the needs of a faculty expected to be productive in research and service, as well as in teaching.

The continued review of support services to assure adequate staff positions will be essential to the maintenance of maximum levels of efficiency throughout the University.

3.6 **Equal Opportunity and Affirmative Action.** The University will continue its efforts to follow the Equal Opportunity and Affirmative Action Guidelines in the employment of new staff and the promotion, compensation, and retention of existing staff.

4.0 **Student Body:** (See the detailed Forecast of Enrollment in Appendix A)

4.1 **Anticipated Enrollment Patterns—Morgantown Campus.** Enrollment patterns on the Morgantown campus will develop as follows:

4.1.1 **Foundation Level.** The University will continue to offer individualized attention to students needing specific kinds of help, especially in communications skills. During the planning period, approximately 230 FTE students per semester will be enrolled in programs of this nature.

4.1.2 **Undergraduate.** Overall, undergraduate enrollment will increase through 1980-81 when it will peak at 12,86[illegible] and then decline at about 1.3% per year through the remainder of the planning period. First-time freshman enrollment is expected to decrease at an average rate of

2% per year until 1985-86 when the projected first-time freshman enrollment will be 2680. Total Lower Division enrollment will decrease at an average rate of 1.4% per year through 1985-86 to a total of 6300. Enrollment at the Upper Division levels will increase during the planning period to 5715 at an average rate of .7% per year because of additional transfers and higher education rates among Lower Division enrollees.

4.1.3 **Graduate School.** Total enrollment in the Graduate School will increase from 3752 in 1975 to 4925 in 1980 when it will equal approximately 33% of the total enrollment on the Morgantown campuses. The enrollment of beginning graduate students, i.e., those who have completed less than 36 hours, will increase by 31% over the 1975-76 level, reaching a total of 3695 by 1980-81. Advanced graduate enrollment will increase by 31% during the same period to a total of 1230 in 1980-81. It is expected that these figures will remain constant over the remainder of the planning period.

4.1.4 **Unclassified.** Unclassified students are those, both pre- and post-baccalaureate, who are enrolled in credit-granting courses, but who are either not matriculating in a degree program or have not yet had their academic credentials evaluated prior to being formally admitted to a degree program. Because the University is improving the speed with which it evaluates academic credentials, it is anticipated that the number of unclassified students will decline about 48% during the planning period from a total of 139 in 1975-76 to about 72 in 1985-86.

4.1.5 **Law.** Continuing the expansion permitted by the opening of the new building, enrollment in the College of Law will increase to 395 students in 1976-77. Enrollment in the College will remain at that level through 1985-86. Even with the expansion in facilities, student demand will continue to exceed the number of student stations available.

4.1.6 **Health Sciences.** The student demand in all of the health science areas will continue to exceed the available student stations. Any increase in enrollment in these areas will be deferred until the completion of additional physical facilities anticipated for summer, 1980. At that time the total enrollment in each school will begin to increase as follows: Medicine (from 337 to 496) and Nursing (from 202 to 250). Dentistry will remain stable at 245 during the planning period, as will the School of Pharmacy (205) and the Dental Hygiene Program (100). Enrollment in Medical Technology (59) and Physical Therapy (32) will also remain stable. Since the health sciences are undergoing regular change, it is anticipated that at least one new program will be started at the Medical Center during the planning period. An allowance of at least 15 student stations will be set aside for this contingency. The number of post-M.D. students, i.e., interns and residents on the house staff at University Hospital, will increase from 173 to 220 during the planning period.

4.1.7 **Out-of-State.** At the undergraduate level only, out-of-state enrollment will continue at the present ratio of about 30-35% of the total undergraduate population. Because of the demand for the limited number of student stations in the College of Law and the Schools of Dentistry, Medicine, Nursing, and Pharmacy, preference will continue to be given to qualified in-state applicants.

Table 5—*Continued*

4.1.8 Overall Enrollment on the Morgantown Campus. Total enrollment, excluding summer programs, will increase from 18,075 in 1975-76 to approximately 19,600 in 1980-81 followed by a decrease to approximately 18,850 in 1985-86. By 1980-81 post-baccalaureate enrollment will reach about 30% of the total enrollment and remain at that level through the remainder of the planning period.

4.1.9 Summer Programs. Student enrollment in summer programs will remain stable at about 6300 for the planning period with a modest shift from persons taking graduate and undergraduate work toward a degree to persons engaging in in-service conferences and special-topic workshops.

4.2 Anticipated Enrollment Patterns—Non-Base Campus and CEU Students. Enrollment patterns in other programs of the University will develop as follows:

4.2.1 Undergraduate Resident Credit Non-Base Campus Program. This program is currently limited to the offering of selected courses at the Kennedy Youth Center, Telelecture, and a few directed-studies courses. Fall semester enrollment for 1975-76 was 65. It is expected that undergraduate off-campus enrollment will continue at this level during the planning period.

4.2.2 Graduate Resident Credit Non-Base Campus Program. This program is restricted, essentially, to 33 northern counties. However, with the continued development of the five off-campus graduate centers (West Liberty, Keyser, Shepherdstown, Jackson's Mill, and Parkersburg) and the expansion of degree programs available at these centers, enrollments are expected to increase from the fall semester, 1975 enrollment of 1933 to 3000 per semester by 1985.

4.2.3 Graduate Resident Credit Non-Base Campus Summer Program. This program normally serves the unique needs of part-time off-campus students through workshops, directed studies, and internship programs. The 1975 enrollment of 800 is expected to remain constant through 1985.

4.2.4 Potomac State College. Enrollment will increase from 943 in 1975-76 to 1060 in 1985 in response to a good mix of technical programs and improved articulation with WVU through the transfer program.

4.2.5 Continuing Education Students (CEU Programs). It is anticipated that there will be an increase in the *total WVU CEU Program* participation from 10,615 persons in 1975 to 25,000 in 1985.

The number of participants in University sponsored noncredit conferences, workshops, seminars, etc., will increase from 10,500 in 1975-76 to 13,000 in 1985-86.

4.2.6 Cooperative Extension Service Programs. The groups that work with the Cooperative Extension Service can be separated into four major areas: (1) Agriculture and Natural Resources, (2) Home Economics and Family Living, (3) 4-H Youth, and (4) Rural Community Resource Development.

The demand for agricultural products will accelerate during the next ten years. With production and marketing technology changing rapidly, subject matter problems with producers will become more complex and more service time will be requested from the Extension staff.

Table 5—*Continued*

Home economics and family living programs now reach about 13,000 participants in organized clubs. In addition, approximately 10,000 non-members carry on a variety of activities. Special emphasis in program expansion will be placed on reaching young homemakers, special interest groups, the elderly, working women, and professionals. Limited-income families are another area of concern. During the past five years, the special nutrition program has reached 20,000 families representing 90,000 limited-income persons. It is expected that an additional 25,000 families will be reached in this program by 1985.

The 4-H Youth Program now reaches a total of 82,000 young people. Of this number, 30,000 belong to organized 4-H Clubs; 13,500 participate in 4-H Special Interest Groups; 8,000 are involved in a special 4-H Nutrition Program; and 30,500 participated in 4-H Educational TV Programs. An extensive 4-H Camping Program embraces 18,500 young people in County 4-H Camps, Area Science Camps, Opportunity Camps, Area Self-Understanding Camps, and Statewide Camps at Jackson's Mill. The total 4-H Youth Program is projected to expand at an annual rate of about 5% through 1985.

Rural community resource development programs are growing in number because of the growing interest in general improvement and beautification and in services and facilities. There is an accelerating demand for training and information by public officials as they are thrust into assuming developmental and leadership roles by legislative and citizen expectations. These changes will require additional Extension Service involvement.

4.3 Characteristics of the Student Body:

4.3.1 Academic Ability of Entrants. The University expects a continuation of its historical record of attracting students of better than average ability (i.e., having high ACT scores and high school grade point averages of B or better) as compared to other state universities and land-grant colleges.

4.3.2 Tendency to "Stop-Out." The University expects that a relatively small but significant number of students will discontinue their University education for a short period of time, later to return to the University. Such "stop-outs" will probably increase in number.

4.3.3 Composition. New opportunities for women and minorities will cause shifts in the sexual, racial, national origin, and age distributions of the student body which will be reflected in changes in academic programs and student services. In addition, the average age of the members of the student body will increase during the planning period reflecting the presence of persons pursuing education for the purpose of keeping up with changes in their career field and/or desiring to change their careers. There will be an increased number of persons on campus working at the post-doctoral level.

4.3.4 Need for Financial Assistance. The proportion of WVU undergraduate students requiring assistance to finance their educations will increase from 40% in 1974-75 to 70% in 1985-86. For graduate students, the proportion will change from 22% to 44%.

4.3.5 Term of Residence. Because of involvement in part-time work and because of changes in career planning, undergraduates will continue to require an average of nine or more semesters in residence to complete their degrees.

Table 5—*Continued*

5.0 Sources of Support:

5.1 Research Funding from Other Than State Appropriations. The dollar volume of research funding from outside sources will increase through 1976-77 from 1974-75 levels especially in specific areas of national concern. Overall, funding in this category will remain stable for the remainder of the planning period. Increases in state support will be needed to meet the demands of a diversified and growing graduate program.

5.2 Extension and Service Funding from Other Than State Appropriations. Extension and service funding from outside sources will hold approximately at 1975-76 levels; and, thus a significant reallocation of funds among programs and increased support from both the state and/or user charges will have to be achieved in order to fund new programs or even to maintain existing ones.

5.3 Instruction Funding from Other Than State Appropriations. Funding from outside sources for instruction will remain a relatively minor item in the institution's budget. There will continue to be some special grants to develop new methods of instruction or to improve teaching in certain disciplinary areas.

5.4 Auxiliary Services Funding. Income produced through fees charged for auxiliary and other services will be sufficient to meet the need for modest program changes and to offset the general effects of inflation.

5.5 State Appropriated Funds. The Board of Regents' formulae for research, for library services, and for faculty staffing per student semester credit hour produced will be fully funded by the Legislature and the Governor so as to meet the staffing requirements of the projected increase in enrollment. In addition, the awarding of Continuing Education Units will be funded under the formula currently used for student semester credit hours.

Since the cost of instruction at West Virginia University will also be affected by the planned shift in the enrollment mix, i.e., an increasing percentage of the student body will be made up of upper division, graduate, and professional students, it is assumed that the Board of Regents' budget formulae will continue to award appropriate differentials of funding for various levels of student semester credit hours proposed.

5.6 Future Funding by Formula. There are recognized areas of University responsibility and service which cannot be properly evaluated in credit hours or by FTE formulae. Appropriate indices will be adopted by the Board of Regents through which these activities, such as administration, student services, and physical plant maintenance, will be reported and funded.

5.7 Internal Reallocation of Funds. The University will continue to make internal reallocations of funds which reflect changes in student enrollments and student demand for various programs. In addition, the internal allocation of funds will also reflect varying costs per student semester credit hour.

5.8 Student Financial Aid. Funds available for undergraduate student aid at WVU will increase slightly during the planning period with emphasis on aid to individuals rather than institutions, and on employment and grants rather than on loans. The criteria for awarding financial aid will shift from an emphasis on need to an emphasis on ability. The role of the state government as a source of student financial assistance will increase *vis-a-vis* that of the federal government and private agencies. The amount of support per individual will be greater but the amount of increase will only keep pace with the cost of education.

Table 5—*Continued*

Federal grants for graduate and professional study will decline except in specific areas of high national need. Whatever the level of funding for the latter, emphasis will be on ability rather than on need.

5.9 **Program Costs.** The costs associated with most current programs will rise at a rate within the range of 8-15% per year due to external economic pressures alone. (Programs in the health sciences will probably occupy the higher end of the above scale.)

6.0 Facilities and Equipment:

6.1 **New Construction and Renovation.** Proposals for new construction will be primarily for special purpose needs. General office expansion and classroom improvement will be accomplished principally through the renovation of existing structures presently dedicated (though inefficiently and unsafely) to these same purposes. Special attention will be given to energy conservation in the design of new structures and in the renovation of existing structures.

6.2 **Repairs and Alterations.** Sufficient funds will be available in the funding category, Repairs and Alterations, to upgrade as well as maintain the physical integrity and attractiveness of current and future University buildings and grounds. Special emphasis will be given to repairs and alterations which will enhance conservation of energy.

6.3 **Allocation of Space.** Facilities will come to be allocated as a form of program resource on a regular basis just as staff and funds are, the general policy being that all space is "University space" and that it is allocated for temporary use to academic and nonacademic areas to support current and anticipated program needs.

6.4 **University Owned Housing.** The current supply of University owned dormitory-type housing will be maintained for the planning period and will be assigned principally for freshman occupancy. The University looks to the private sector of the community to provide for the housing needs of upperclassmen, graduate, and professional students. University owned housing, other than dormitories, will be used principally to accommodate the special needs of persons for whom the private sector of the Morgantown area will find it difficult to provide facilities, e.g., temporary appointees, new faculty, etc.

6.5 **Equipment.** University equipment monies from general revenue will be used primarily for the support of instruction and related University activities. Emphasis will be given to the replacement of outmoded, depreciated, or worn out equipment. New equipment will be purchased as justified by program needs. Funding for research equipment will be primarily through sources other than state appropriations, e.g., gifts, grants, and contracts. Improved inventory procedures will lead to the more effective utilization of equipment throughout the University.

Table 6

PLAN OF WORK

Fiscal Year 1975-76
West Virginia University
Council on Planning

1. Publish the planning assumptions for each of the schools and colleges of the University.

2. Develop a statement of University planning assumptions for the period 1976-77 to 1985-86.

3. Review proposals submitted by the deans and directors and recommend a schedule of capital improvements proposals for West Virginia University for the period 1977-78.

4. Develop and review the space allocation plan through 1985 for all West Virginia University buildings, schools, colleges, and nonacademic areas.

5. Develop and recommend revisions to the 1974-1980 land-use and campus development plan for the University.

6. Review the contents of the 1974-1975 issue of *Statistical Profiles for West Virginia University* making recommendations for items that could be added, deleted or presented in a different way.

7. Review the proposed repairs and alterations projects for 1976-1977 and make recommendations to the President's Office of items which should receive high priority.

8. Complete preparation of the second edition of the booklet, *WVU Organization,* including statements of objectives and an organizational chart for each of the schools, colleges, and major nonacademic units of the University.

9. Improve faculty, student, and professional staff awareness about University planning, as well as their participation in the planning process at the University.

10. Consider recommending the establishment of planning councils in some areas of the University where they have not yet been requested, including as a part of the charge to these councils the development of formal statements of planning assumptions for the individual units involved.

11. Develop a program evaluation process for the University using the groundwork established in the council deliberations for the past two years, as well as the current budgeting and planning activities of the University, including especially the materials and procedures developed as part of the North Central Accreditation Report and the recent policy statements of the Board of Regents on this topic.

12. Recommend further involvement of the planning councils for individual schools and colleges in more of the activities currently performed for the President on a University-wide basis by the University Council on Planning.

13. Provide for more extensive involvement with the planning bodies of the city and county, as well as the recently established regional planning council.

Table 6—*Continued*

14. Consider further the development of a forum for discussion on the University's future by deans, directors, and other planners and managers of the institution.

15. Better document the present steps in the planning process at West Virginia University.

Table 7

ANNUAL REPORT OF THE UNIVERSITY COUNCIL ON PLANNING TO THE WEST VIRGINIA UNIVERSITY SENATE, 1975-76

In accordance with the Senate's guidelines dated June 26, 1970, the Council is pleased to submit the following report for the fiscal year 1975-76.

Charge of the Council

The charge of the University Council on Planning is to advise the President in the formulation of long-range and middle-range plans for campus development, financial development, space utilization, major program development and the like. The Council is attempting to develop both a quantitative and qualitative description of the University for the year 1985, thus carrying University planning beyond 1980, the year toward which the Board of Regents' planning efforts point and the year in which the next decennial census will be taken. In addition, the Council recommends policies on resource allocation within the University, especially with regard to space and capital improvements.

Activities of the Council during 1975-76

To accomplish the above goals and thereby carry out its charge, the Council adopted a 15-item Plan of Work for the year. A report on the status of each item in that Plan of Work follows.

1. Publish the planning assumptions for each of the schools and colleges of the University.

The Council completed the compilation and review of the statements of planning assumptions for each of the schools and colleges of the University, as well as the University Hospital, the Center for Extension and Continuing Education, the Computer Center, and the University Libraries. These statements of planning assumptions covered the period 1974-75 to 1980-81. Since the decision was made to extend the period of coverage for the University-wide planning assumptions to 1985-86, it was further decided by the Council that it would not publish the planning assumptions of the schools and colleges as previously intended. Rather it is anticipated that, when the schools and colleges and other units revise their statements of planning assumptions during fiscal year 1976-77, they will extend their planning period to 1985-to 1985-86 after which it is hoped that the statements of the schools and colleges may be published.

2. Develop a statement of University planning assumptions for the period 1976-77 to 1985-86.

After soliciting suggestions from all deans and directors, from the planning committees in each school and college, and from various committees and councils of the University, the Council on Planning prepared and submitted to the President's Office a proposed revision to the 1975 statement of the University planning assumptions, including a forecast of enrollment. The statement of *Planning Assumptions for West Virginia University* covering the period 1975-76 to 1985-86 is at press.

3. Review proposals submitted by the deans and directors and recommend a schedule of capital improvements proposals for West Virginia University for the period 1977-78.

Table 7—*Continued*

The Council completed preliminary work toward evaluating the capital improvements proposals submitted by each dean and director during 1975-76, but the fiscal year ended before the Board of Regents issued its request for an update of the 1975-1980 long-range plan. It is anticipated that the completion of a proposed capital improvements plan for the University covering the period 1977-78/1980-81 will be one of the first items of business to be considered by the Council during 1976-77.

4. Develop and review the space allocation plan through 1985 for all West Virginia University buildings, schools, colleges, and nonacademic areas.

Given the ongoing implementation of present plans for the renovation of four of the major buildings on the Downtown Campus, the Council made little additional progress on this item. It is anticipated that the improved data systems being developed by the Office of Facilities Analysis and Utilization will be available for use by the Council during 1976-77 and that work, therefore, can be completed on an update of the present plan during the next fiscal year.

5. Develop and recommend revisions to the 1974-1980 land-use and campus development plan for the University.

During 1975-76, the Office of the University Architect completed additional presentations based on the campus development and land-use plan adopted during 1974-75. The campus development and land-use plan shows the physical manifestations of program planning, lays out potential building sites for items included in the capital improvements plan, suggests natural groupings of activities, and geographic areas of possible University expansion.

6. Review the contents of the 1974-1975 issue of *Statistical Profiles for West Virginia University* making recommendations for items that could be added, deleted or presented in a different way.

In cooperation with the planning committees and deans of each school and college, the Council reviewed in detail the contents of the 1974-75 issue of the *Statistical Profiles of West Virginia University* and made recommendations for a limited number of improvements. It is the impression of members of the Council that the changes in format recommended by the Council and implemented by the Office of Institutional Research during the previous year have increased the usefulness of this planning tool to University administrators, faculty, and members of the student body.

7. Review the proposed repairs and alterations projects for 1976-77 and make recommendations to the President's Office of items which should receive high priority.

The Council on Planning reviewed a list of the repairs and alterations proposals submitted by each of the deans and directors for implementation in 1976-77. The purpose of this procedure was to give the Council members a feel for the types and quantity of proposals being made, as well as to allow the group to offer general guidelines to the President's Office in its review of the proposals.

8. Complete preparation of the second edition of the booklet, *WVU Organization*, including statements of objectives and an organization chart for each of the schools, colleges, and major nonacademic units of the University.

Council members continued to meet with deans and directors, as well as members of the planning committees for each school and college, to complete the second edition of the booklet, *WVU Organization*. Under the leadership of Dr. Suzanne E. Reid, the booklet has been published and is now being distributed.

9. Improve faculty, student, and professional staff awareness about University planning, as well as their participation in the planning process at the University.

Table 7—*Continued*

To improve faculty, student, and staff participation in the planning process, the Council on Planning recommended an expanded charge to the planning committee of each school and college. The latter was laid out in a memorandum dated December 10, 1975, from the President to all deans. (During 1975-76, about 10 percent of all members of the faculty were involved in formal planning activities of the University.) Having met with most of these planning committees, along with their respective deans, and having reviewed the products of their work to date, the Council on Planning expresses its appreciation for their performance and fully intends that the scope of their charge be expanded to more facets of college planning as also outlined in the President's memo noted above.

To improve the awareness of the planning process among staff, faculty, and students, the Council on Planning made improvements to its presentation on the general topic of "University Plans and Planning." This presentation was made to seven campus groups. In addition, the 'Provost for Planning organized orientation sessions on planning for all new deans and directors appointed during 1975-76. *Using the medium of the Senate minutes, the Council again announces the availability of its presentation to any group of staff members or students.*

10. Consider recommending the establishment of planning councils in some areas of the University where they have not yet been requested, including as a part of the charge to these councils the development of formal statements of planning assumptions for the individual units involved.

The Council decided to recommend the establishment of planning councils in four additional areas of the University during the year. It is anticipated that the recommendations of the Council will be forwarded to the President's Office with implementation anticipated in fiscal year 1976-77. It is intended that eventually every major unit of the University, both academic and nonacademic, will have some form of planning council to serve its dean or director.

11. Develop a program evaluation process for the University using the groundwork established in the council deliberations for the past two years, as well as the current budgeting and planning activities of the University, including especially the materials and procedures developed as part of the North Central Accreditation Report and the recent policy statements of the Board of Regents on this topic.

The Council studied available literature on the topic and reviewed statements from each dean on the mechanism used for program evaluation in each school and college of the University. Using the groundwork established in the current budgeting and planning activities, as well as the materials and procedures developed as a part of the North Central Accreditation Report, the Council continued its study of the development of a program evaluation process for the University.

12. Recommend further involvement of the planning councils for individual schools and colleges in more of the activities currently performed for the President on a University-wide basis by the University Council on Planning.

The charge to the planning committees of each school and college was expanded to include, at that level, more of the activities currently preformed for the President on a University-wide basis by the University Council on Planning.

13. Provide for more extensive involvement with the planning bodies of the city and county, as well as the recently established regional planning council.

Recognizing the important interrelationship between University planning and that done by area governing bodies, the Council met with representatives of the Planning Commission of the City of Morgantown, the Morgantown City Council, and the

Table 7—*Continued*

Region VI Planning Office, to discuss mutual problems and possible solutions. Professor H. Peter Marshall, a member of the University Council on Planning, also served as member and president of the Morgantown Planning Commission. In addition, the Chairman of the University Council on Planning continues his service as a member of the Monongalia County Planning Commission.

14. Consider further the development of a forum for discussion on the University's future by deans, directors, and other planners and managers of the institution.

The Council considered the development of a forum for discussion of the University's future by deans, directors, and other planners and managers of the institution, but did not progress to the point of making formal recommendations to the President's Office.

15. Better document the present steps in the planning process at West Virginia University.

During the year, the Council received reports from each of the deans concerning the present steps in the planning process in each school and college. Using this information as a base, it is anticipated that progress may be made during 1976-77 in better documenting the steps in the planning process as it occurs on a University-wide basis.

So that the members might be made more sensitive to the many facets of the University with which they must deal both in the present and the future, the Council received briefings and background papers on a number of topics during the year, including the following: summer session programming, financial aids for students, admissions, recruitment, the operating budget, enrollment patterns, state support of higher education in the United States, the supply and demand for persons holding Ph.D.'s, and the academic common market. In addition, as is its custom, the members of the Planning Council met with the Provosts to exchange views concerning the planning assumptions for the University as they are presented in six areas of the institution's environment: scope of the University's mission, programs, staff, student body, sources of support, and facilities.

Recommendations

The Council feels that the University's planning statements as published in the booklets, *WVU Organization, Statistical Profiles of West Virginia University,* and the West Virginia University Annual Report, serve well as guides for future program development. In addition, and of more immediate importance, the Council notes that these organization charts, statements of objectives, historical data, and planning assumptions at both the University and school or college level have come to be used more fully as standards for evaluating program proposals and their impact on the University's budgets for funds, staff, and space. In this regard, the Council again recommends that the Senate's own committees make explicit use of these planning tools in making their decisions concerning program proposals brought to them for review.

Committee Personnel

The Council commends to the Senate the contributions of the three faculty members and three students whose terms expire at the end of this year. Professor Donaldson has served more than one term and has added a dimension to the discussions of the Council reflecting his long interest in planning at the community level. Professor Ramsey has been one of the most active members of the Council during her term and in recognition of the quality of her contributions was elected Vice Chairwoman of

Table 7—*Continued*

the Council by its members. Professor Bell, having filled for one year the unexpired portion of the term of a previous member, has been reappointed to a full three-year term on the Council beginning in 1976-77. Mr. Camilletti, Mr. Davis, and Ms. Malone served well, especially considering the competing demands for their time as active members of the student body.

During the year, Mr. Dragoo was honored by being the only member to be reappointed for a second term on the General Services Administration's Public Advisory Panel on Architectural and Engineering Services. Dr. Clark was elected as President of the Southeastern Regional Association of Physical Plant Administrators of Universities and Colleges, and also was elected as Senior Delegate to the Association of Physical Plant Administrators. The chairman of the Council, Provost Haas, was named to the Faculty of the Second Annual Institute on Coordinating the Planning Process sponsored by the Society for College and University Planning at Princeton University.

Western Washington University

BACKGROUND

Publicly Supported State University

Western Washington University, located in the city of Bellingham, is a state-supported, multipurpose institution of higher education offering undergraduate and master's-level programs, mainly to the residents of the state of Washington. The university, one of six publicly supported institutions of postsecondary education, is governed by its own five-person lay board of trustees. Western views its fundamental academic purpose to be the maintenance, use, and development of the liberal arts tradition, from which other diverse and important educational missions extend.

A fact important in understanding the context of academic planning at Western is the reduction in force that occurred during the 1972-73 and 1973-74 academic years. It resulted in an 18 percent reduction in the number of full-time equivalent faculty positions (from 516 FTE in 1973 to 423 FTE in 1974) and a 24 percent reduction in the number of full-time equivalent classified staff positions (from 100 FTE in academic units in 1972 to 76 FTE in 1974). This reduction occurred just before a continuing planning process became a permanent part of Western's management and decision-making process, in the academic year 1974-75.

Approximately 9,000 Students

455 FTE Faculty

Average student enrollment (headcount) in the academic year 1976-77 was 8,930 students, with an FTE faculty count of 455. Student-credit-hour (SCH) enrollment for the academic year 1976-77 was 123,610, resulting in an SCH/FTE faculty ratio of 271.

ACADEMIC PROGRAM AND ORGANIZATION

Undergraduate and Master's Level Graduate Programs

Western's undergraduate and master's-level programs are organized under colleges, schools, and the Center for Continuing Education:

College of Arts and Sciences—Departments of Anthropology, Biology, Chemistry, English, Foreign Languages and Literatures, General Studies, Geography and Regional Planning, History, Geology, Honors, Mathematics and Computer Science, Philosophy, Physical Education, Physics, Political Science, Psychology, Sociology, Speech, and Technology

College of Business and Economics—Departments of Accounting, Business Administration, Business Education, and Economics

Fairhaven College—WVU's cluster college

College of Fine and Performing Arts—Departments of Art, Music, and Theatre and Dance

Huxley College of Environmental Design

School of Graduate Studies

Each academic unit has a designated administrator (dean, director, chairperson, etc.) with the Vice-President for Academic Affairs/Provost being the executive officer responsible for the administration of the entire academic program of the University.

HISTORY AND DESIGN OF ACADEMIC PLANNING AT WWU

Integrates Academic and Budgetary Concerns

Academic planning, as the fundamental decisionmaking process for all academically related resource allocation (including budget determination), became a permanent part of Western's management process with the beginning of the 1974-75 academic year. The process at Western now includes coordinated academic and budgetary (including capital) planning with a potential for participation by the whole institutional community.

Participation Encourages Individual Unit Plans

Academic planning at Western is based on the assumption that planning is successful only if it involves those who are planned for. The first step is the preparation of plans by each academic unit, academic program, support unit (such as the Computer Center), and the Library. These plans develop in three steps: (1) a narrative is written that describes the unit, its goals, and its objectives; (2) proposals for new programs or program changes are presented in priority order (this is essentially a cost-benefit analysis of each proposed change and includes resource requirements of faculty, staff, budget, space, equipment, and so on); and (3) all of the pertinent data are included, such as student-credit-hour production, faculty staffing levels, budgets, majors, and degrees granted.

Each academic unit submits its plan to the dean to whom it reports. The deans are responsible for developing plans for their colleges based on the unit plans. The college plan contains program and budget priorities for the college.

College Plans Reviewed

University Plans Reviewed

The Long Range Planning Committee then reviews and analyzes the plans from each college and support unit and develops a draft institutional plan for Western, complete with program priorities. This Draft Plan is then reviewed by the Vice-President for Academic Affairs/Provost and by the President and finally submitted to the Board of Trustees for its acceptance. The result is the Institutional Plan for that year.

Capital and Facility Planning Integrated into Process

Each academic unit's plan contains information concerning space and equipment needs for academic programs. It is analyzed by the Space and Schedules Office to develop the capital and facilities needs for academic units. The Vice-President for Business and Finance and the Vice-President for Student Affairs also develop capital requests for their areas. All capital requests are analyzed and coordinated by the College Planning Office and planning staff, which then develops the draft capital budget. Several members of the planning staff are also members of the Long Range Planning Committee. This facilitates coordination between the two bodies and therefore between academic and nonacademic planning. After approval by the President, the draft capital budget is submitted to the Board of Trustees for final approval.

Continuing updating of Western's Roles and Missions Statement is part of the planning process. Each year, each unit is asked to provide a critique of the existing Roles and Missions Statement. The Planning Council examines these critiques and, when appropriate, revises the Roles and Missions Statement.

Implementation of the recommendations contained in the Institutional Plan is carried out through the regular governance structure of the institution. The administration, as the executive arm of that structure, is ultimately responsible for the results of the planning process.

ACADEMIC PLANNING IN 1976-77

Unit Plan: Basic Element in Process

The basic element of the planning process is the unit plan, which is developed by each unit to describe its nature, goals, program changes, and program. Units submitting plans in 1976-77 included departments, colleges, interdepartmental and interdisciplinary programs, and self-determined groups constituted to plan distinctive program proposals that do not come under existing structures. In addition, the following units supplied plans: the Library, Educational Media, Honors Program, Computer Center, Graduate School, and Continuing Education.

Unit Plan Critiques Roles and Missions Statement

Each unit also was requested to write a critique of the Roles and Missions Statement which appeared in the 1975-76 Institutional Plan. Although it is probably impossible to develop a Roles and

Missions Statement that will please every member of the community, it is hoped that by a series of revisions and critiques, a statement representative of majority opinion concerning the nature and mission of Western Washington University will evolve. The Long Range Planning Council revised the Roles and Missions Statement, based upon critiques received from the planning units, and submitted the revised version to the All-University Senate for review.

Various Avenues for Participation

In developing unit plans and critiques, all members of the planning unit had the widest possible opportunity to participate in the process. Each planning unit decided how it could best develop its document. Some chose to work as a committee of the whole, others selected a special task force, and still others chose to delegate the task to a chairperson, dean, or program director. Whatever approach was decided upon, the expectation was that the final planning document would be thoroughly reviewed and approved by the whole planning unit before submission.

College Plans Prepared from Unit Plans

Priorities Established in College Plan

Long Range Planning Committee Reviewed College Plans and Developed Institutional Priorities

Each unit submitted a copy of its plan to the appropriate dean as well as to the Long Range Planning Committee. The deans had responsibility for developing a plan for each of their respective colleges. This plan was to have the same format as the unit plans and in particular was to discuss the goals of the college—as these goals represented sums of the goals of the individual units and as they represented the broader concerns of the college as a whole. Second, the college plan contained a list of the priorities for program changes proposed within the college. This analysis and prioritization was based on all of the factors that entered into the development of the proposed program change, including budget and space as well as faculty and staff resources. The priority listing was derived from the priority list of each individual planning unit, both departmental and nondepartmental. It was assumed that each unit would have considerable discussion about its priorities and that faculty would be involved in the establishment of priorities for each college. The exact mechanism to ensure faculty participation in this process was left to the colleges. The Long Range Planning Committee then reviewed the college plans and those from other support areas and developed priorities for the institution as a whole. The Long Range Planning Committee also had responsibility for revising the Roles and Missions statement, for other planning functions, and for developing materials for the Draft Institutional Plan.

Draft Plan Prepared By Administration, Reviewed, and Final Plan Sent to Board of Trustees

Materials developed by the Long Range Planning Committee were consolidated into the Draft Institutional Plan by the Office of the Vice-Provost for Instruction and Planning. All editing of materials was done subject to review of the affected planning units. Each planning unit reviewed the material representing that unit in its final form before it was compiled in the Draft Plan. After the Draft Plan had been compiled, it was reviewed by the Vice-President for Academic Affairs and Provost and by the President. After these reviews, the final Institutional Plan was produced and presented to the Board of Trustees for their approval. The administration then undertook to implement the recommendations and priorities contained in the Plan.

Planning Timetable

To facilitate planning, the following timetable of dates related to planning was followed. This timetable is based on the desirability of completing the allocation process by the end of February, to give units sufficient time to recruit new faculty and develop new programs for the following year (1978-79).

May 1977

- Distribution of the Planning Guide.
- Meeting of Academic Vice-President and/or Vice-Provost with planning unit heads to describe the process.
- Planning units begin work on unit plans.

October

- Completed unit plans from all planning units are due on or before October 17 in the office of the appropriate dean in a number of copies to be determined by each dean. Each dean will forward 15 copies of each unit plan to the Office of the Vice-President/Provost. Units which do not report directly to a dean will submit their plans in 15 copies directly to the Office of the Vice-President/Provost.

November

- Critiques of the Roles and Missions Statement are due November 1 in the Office of the Vice-President/Provost in 15 copies.
- The Long Range Planning Committee begins its revision of the Roles and Missions Statement.
- Completed college plans, except for the College of Arts and Sciences, including priorities, are due November 1 in the Office of the Vice-President/Provost in 15 copies.

December

- The College Plan of the College of Arts and Sciences, including priorities, is due December 1 in the Office of the Vice-President/Provost in 15 copies.
- The Long Range Planning Committee will complete its review of the Roles and Missions Statement by December 15.

January 1978

- The Long Range Planning Committee will submit the revised Roles and Missions to the first meeting of the Senate for its review.

February

- The Long Range Planning Committee shall complete its review of the planning documents and shall make its recommendations of institutional priorities before the end of February.

March

- The Long Range Planning Committee shall review the 1977-78 Planning Process, prepare recommendations for the 1978-79 Planning Guide.
- By March 24 the Vice-Provost for Instruction and Planning shall prepare a Draft Institutional Plan.

April

- By April 7 the Vice-President/Provost shall complete his review of the Plan.
- By April 21 the President shall complete his review of the Plan.

May

- The Institutional Plan shall be on the agenda of the Board of Trustees Meeting.
- Following Board approval, the Plan shall be sent for printing and binding in sufficient numbers for distribution to the campus community and selected external recipients.
- Recommendations resulting from the Plan shall be implemented.
- The Planning Guide for 1978-79 shall be distributed.

"Movement Ahead"

Annual "Rolling" Process

The planning process is adjusted by the Long Range Planning Committee as deemed necessary during each academic year. The process focuses on the immediate year ahead. It also addresses the four years after the immediate next year, although the amount of detail is substantially reduced. The process is therefore a five-year "rolling" process where each year is added to the planning horizon while the immediate year ahead, which "rolls-up," is addressed in detail. Figuratively, this "five-year rolling planning process" can be illustrated as in figure 6 (page 80).

Academic Planning Guide for the Preparation of Unit Plans

An annual academic planning guide is prepared by the Long Range Planning Committee for use by units in the preparation of their annual plan. This *Academic Planning Guide* is very detailed and provides the unit with a handbook of directions, reporting formats, information, etc., while bringing reporting uniformity, comparability, and efficiency to the process of planning at Western.

Because of the important role in the planning process that is served by the *Academic Planning Guide,* a large portion of it is duplicated in this document verbatim from the *1977-78 Academic Planning Guide.*

IMPETUS FOR ACADEMIC PLANNING

(As described by executive officers of
Western Washington University)

Western has had a planning tradition since its inception. This process has always been characterized by a high degree of faculty involvement. In each biennium planning has been the basis of all capital and operating budget requests. Western also developed more comprehensive plans in 1965 and 1968. In September 1973 Dr. Jerry Anderson became Academic Vice-President at Western. For reasons which will be discussed below, he felt that it would be advantageous to institute an annual planning process at Western. In fall 1974 the position of Vice-Provost for Instruction and Research was created with primary responsibility for coordination of the planning process. The title of the position was later changed to Vice-Provost for Instruction and Planning, but the function of the office remains the same.

Several factors motivated the decision to institute an annual planning process. Probably the most important one was recognition that resource allocations at Western in the past had often been based upon the "squeaky wheel" approach. This had resulted in inequities in resource distribution since those units which had the most aggressive and outspoken chairpersons or deans received the most resources, sometimes independently of their needs or the needs of the rest of the institution. At the same time those units which did not have aggressive leadership were penalized, also independently of their legitimate needs for resources. It was apparent that a more rational allocation of resources based upon justifiable needs and a careful examination of potential program development was both necessary and desirable for the orderly development of the institution.

During 1974-75 Western was also going through a period of reduction-in-force of 75 faculty positions, which represented about an 18 percent reduction in the number of faculty positions from that of the previous year. It was apparent that these reductions would result in distortions of programs and staffing imbalances in some units. It was clear that it would be necessary to examine the total program and plan how to implement changes which would bring the institution's staffing back to a stable configuration which matched its programmatic needs. Thus the experience of reduction-in-force also provided another reason to institute a regular planning process.

The third factor which entered into the decision to institute planning at Western was a more long-range one based upon the recognition of the potential decline in enrollments during the early 1980s. It was recognized that in order to meet this eventuality in a way which would cause the least disruption to the institution it would be necessary to do extensive planning in the intervening period between 1974 and 1980. Preparing for this eventuality has become part of the regular planning process.

Thus, the planning process was initiated in fall 1974 for the reasons given above. The original form of the process was based to a large extent upon the experience of Dr. Anderson in planning at Central Michigan University, where he had been prior to becoming Academic Vice-President at Western. Since then a number of significant modifications have been made in the process to fit it more closely to the experience and institutional characteristics of Western.

PURPOSES OF ACADEMIC PLANNING

(As described by executive officers of
Western Washington University)

Planning at Western began in 1974 as academic planning and in 1976 was expanded to include capital planning.

1. **Community Participation**
   The philosophical premise for planning at Western is that plans should be developed through the participation of those planned for. Experience with both academic and non-academic planning has shown that, when plans are developed by a planning officer or a planning group with little or no consultation with the community that is being planned for, the plans are seldom realized. They tend to be filed away and forgotten since they do not meet the expectations of the community involved, but reflect only the biases of the planners.
2. **Rational Allocation of Resources**
   One of the purposes of planning at Western is to develop a rational procedure for the allocation of resources. Resources in this context include budgets, faculty, staff, and space. The efficient and effective use of resources depends upon a careful analysis and understanding of the nature and direction of the institution. This understanding can only be obtained through a process which focuses upon the institution as a whole and not upon its individual units.
3. **Establishment of Institutional Goals**
   Another purpose of the planning process is to establish goals for the institution. The planning process at Western is designed so that goals are developed through participation of the total community. The goal-setting process takes place annually and goals are modified to meet the changing conditions faced by the University.
4. **Evaluation of Goals**
   The establishment of goals is not sufficient in itself. It is also necessary to monitor progress towards achieving those goals. This is also a purpose of the planning process at Western.
5. **Control of Program Development**
   Another purpose of the planning process is to monitor the

development of new programs and program changes. This enables program development decisions to be based upon the overall goals of the institution. This prevents the development of programs which are not congruent with those goals or which have not had adequate review of their fiscal impact.

6. **Capital Budget Planning**

   It is the purpose of the planning process to integrate capital budget planning into the academic planning process. This provides an integrated planning process which includes both academic and support areas. It is anticipated that this combined process will be in place starting in the 1977-78 academic year.

BENEFITS OF ACADEMIC PLANNING

(As described by executive officers of
Western Washington University)

The following items have been identified as benefits from the present academic planning process at Western.

1. **Participation**

   The planning process has been designed to provide the greatest possible participation of all members of the academic community. However, the purpose is not to force people to participate but to allow them the opportunity to participate if they wish. Thus in practice the amount of participation in various units varies widely over the campus. In some units the plan is written by the chairperson, in others by a faculty committee, and in others through discussions of the whole faculty of the unit. However, we do request that all unit plans be reviewed by the faculty of that unit before they are submitted, no matter who drew them up initially. The benefit of this process is that it is democratic and provides faculty members an opportunity to determine the direction of the institution, an opportunity which in the past was often not exercised due to concerns with day-to-day issues.

2. **Clarification of Resource Allocations**

   The resource allocation process has become considerably simplified and clarified with the advent of the planning process. People now understand what procedures have to be gone through and what information must be supplied in order to justify allocations of resources to their units. Since the process is in the hands of the faculty it has nearly eliminated allegations of administrative favoritism and incompetence. The result has been a general sense of a much fairer resource allocation process.

3. **Definite Progress toward Goals**

   The planning process forces units not only to describe their goals but also to indicate their progress toward them. This enables the units to determine which goals they are meeting and to understand why they are not meeting the ones they are not. This has changed the goal-setting process from one of making vague statements about the future to one in which units must carefully consider not only their goals but the activities and actions which they are going to undertake to meet them and their progress in carrying out those activities and actions. The result has been a much more realistic goals structure for both the units and the institution as a whole.

4. **Simplification of the Budget Process**

   Before the planning process was instituted the operating budget was developed on the basis of requests from each unit for the next biennial budget. This resulted in a pile of papers several inches thick containing essentially the wish list of every unit in the institution. The planning process has resulted in a considerable simplification of budget development. The planning process can be used either with add-on budgeting or zero-based budgeting. So far we have only used it in the add-on mode. Now each college presents budget requests as part of its priority listing for resources to be allocated to that college with an appropriate justification. The budget request is then made up of the present budget level plus an adjustment for inflation plus budget increases which have been approved through the planning process. The advantage of using the planning process in this manner is that budget increases are tied to specific programs which in turn are based upon an analysis of the implementation of the goals of the University. Basing the budgeting process on the planning process has resulted in both a more equitable distribution of funds and a reduction in the amount of administrative time necessary to develop budget proposals.

5. **Consolidation of Planning in the Faculty**

   Before the advent of the planning process many of the decisions relating to the basic nature of the institution were made by the administration. The planning process has resulted in the benefit of placing primary decisionmaking about the future nature of the institution in the hands of the faculty. Faculty are responsible for both the generation of the unit plans and their review. Final recommendations which make up the Institutional Plan come from the Long Range Planning Committee, which is a faculty-controlled body. In the present formulation of the planning process, the administration provides technical support and advice to the planning process, but it does not control it. This has given the faculty a sense of controlling the future development of the institution.

LIMITATIONS AND DIFFICULTIES

(As described by executive officers of
Western Washington University)

Numbers of different difficulties have been encountered in developing and implementing the planning process. Since the process is designed to be self-correcting, most of these difficulties have been resolved. However, it is worth while examining these, since some could have been avoided if they had been recognized at an earlier stage.

When the intention to initiate a planning process was first announced, there was moderate resistance on the part of the chairpersons because of the additional load it would impose upon them. Several of the first plans submitted by the units contained sarcastic remarks about the necessity of the planning process. However, this opposition essentially disappeared as the benefits of the planning process became more evident.

A problem in carrying out the review of the planning documents has been late submission by a few units. For example, the college documents for the 1976-77 year were due on December 15, 1976, but the last document was not received until March 22, 1977. This puts the review process more than a month behind schedule. Consideration is being given to an absolute deadline, beyond which materials will not be considered. Late submission would then guarantee that the unit would not receive any additional resources during the next year.

Chairpersons have pointed out that the planning documents are due at a time when other procedures, such as tenure and promotion deliberations, have to be carried out during the fall quarter This led to revision of the timetable so that unit documents will be submitted by October 17. This will require that work on these documents be done during spring and summer quarters, with a final faculty review at the start of the fall quarter. This will more evenly distribute the work load for chairpersons and deans, and should result in a better planning process.

Some units have had difficulty with the data sections, particularly the projections involved in the data requests. They also have had problems in performing some calculations required in the data reporting section. As a result, the administration has taken over the data reporting and projections for those units that have requested it. This has not been a very sizable burden on the administration, since most of the information is maintained in administrative files.

Before the planning process was initiated, faculty allocations were made by the Allocations Advisory Committee. Since the planning process, the Allocations Advisory Committee relies heavily upon the recommendations of the planning process. There is now some question as to the necessity of the AAC and what its future function should be. This question is presently under discussion and is one of the areas where some modifications may have to be made in order to fit older processes into the new planning process.

In the first two years of the planning process, the committee which reviewed the unit plans was called the Planning Council and was made up of the Council of Deans plus about half as many faculty members. Thus the Council was predominantly administrative. This led to allegations of administrative control of the planning process and subsequently the decision was made to replace the Planning Council with a committee which was controlled by the faculty. During these same two years there were two planning bodies on campus—the Planning Council and the Long Range Planning Committee which reported to the All-University Senate. The subsequent reorganization resulted in the elimination of the Planning Council and the restructuring of the Long Range Planning Committee so that it was better able to deal with the functions assigned to it under the new planning process. This reorganization was effected in fall 1976 and this year's planning process has taken place under the new structure.

Most of these difficulties have already been resolved and none has proven to be insurmountable. The only outstanding problem is the role of the Allocations Advisory Committee. This will be considered by its parent body, the Academic Coordinating Commission, this fall. The planning process has been deliberately designed to include annual modifications. We have therefore been able to resolve difficulties in the process by modifying it as we go along.

ORGANIZATION OF PLANNING AND ITS RELATION TO GOVERNANCE

(As described by executive officers of
Western Washington University)

The relationship between the planning process and the governance of the institution has changed somewhat over the life of the planning process. The planning process was originally an administratively motivated activity. Starting in 1976 the planning process has been integrated into the regular governance structure of the institution. The administration has two responsibilities in the planning process. The first is to act as a technical consultant to the planning process, supplying the units and the review committee with whatever data and information about the institution is requested. The second is a commitment on the part of the administration to implement the recommendations of the planning process. This is a commitment in principle since some of the recommendations cannot be carried out by the administration alone. In addition, some of the recommendations must be further approved by governance bodies which have direct responsibilities for the areas in which the recommendations are made. However, whenever the recommendations can be carried out by the administration without further consultation, they are.

During 1976, 36 of the 47 recommendations were implemented in the priority order set by the Committee. The remaining 11 were not implemented due to a lack of the necessary resources. This record of implementation of the recommendations has increased confidence in the process.

Figure 7 (page 81) shows how the revised Roles and Missions Statement goes directly from the Long Range Planning Committee to the Senate for its review. It is then reviewed and approved by the Board of Trustees. The planning recommendations developed by the LRPC are forwarded to the appropriate governance body. In the figure, connections are shown to all the relevant bodies. In any given year not all governance bodies may be involved, depending on the nature of the recommendations.

THE PROGRAM STUDY COMMITTEE

(As described by executive officers of
Western Washington University)

Although not strictly a part of the planning process, the Program Study Committee, which operated during Fall and Winter quarters 1975-76, should be mentioned since it had an important effect on planning during 1975-76. The Committee was charged with determining the appropriate current (1975-76) level of staffing for each unit at Western. This information was then used in the planning process as a base for analyzing the future programmatic development of the institution.

The Committee performed its analysis using both qualitative and quantitative factors. Qualitative factors such as the pedagogical purpose of the program, mode of instruction, success of graduates, etc., were used. The following quantitative factors were also examined for each unit: average faculty load, average student credit hours per faculty, cost per student credit hour, average class size, percent of formula weighted and unweighted, average number of graduates per faculty member, average number of courses per faculty member, number of conference courses with enrollment of one per faculty member, the number of courses with enrollments between two and ten per faculty member, total student credit hours, and student credit hours as a percentage of total institutional student credit hours. After examining all these factors, the Committee made a judgment as to the type of staffing that each unit should have. Units in Group I will have their faculty levels reduced through normal attrition. In addition, Group I units must supply a three-year plan indicating how they will improve their productivity in order to enable them to move to Group II, or at the end of three years their faculty staffing level will be further reduced to bring it into congruence with student demand. Acceptable levels of "productivity" are defined by reference to a corridor of plus or minus ten percentage points on either side of the legislatively mandated staffing level for Western. Each of the units in Group I has supplied a plan to improve its faculty staffing formula level.

Group II units are those whose size is expected to remain the same over the next few years and in which the present staffing levels should be maintained. These units will have terminations and leaves without pay replaced, but no additional faculty members will be allocated to them.

Group III units are those in which there is heavy student demand and anticipated future growth; in general only these units will receive resources through the planning process to expand their programs.

The work of the Program Study Committee served to establish base lines for faculty staffing for each unit in the University. Four units have been transferred from Group I to Group II on the basis of their returning to within the "plus or minus ten percentage points" corridor. Future changes away from these base lines will be determined through the recommendations of the planning process. At present the classification of the units according to Groups I, II, and III is as follows:

Group I

Chemistry
English
Foreign Language/Literature
Geography/Regional Planning
Philosophy
Physics/Astronomy
Technology

Group II

Education
General Studies
History
Home Economics
Huxley
Journalism
Music
Physical Education
Political Science
Psychology
Recreation
Speech Communication

Group III

Anthropology
Biology
Business/Economics
Dance
Fairhaven
Geology
Mathematics/Computer Science
Sociology
Speech Pathology/Audiology
VICOED

ADMINISTRATIVE PLANNING

Administrative planning is done through the medium of annual reports from all central administrators and the President. Each administrative unit head is required to provide an Annual Report to the vice-president in charge of that area. This report contains the goals for that unit, an evaluation of the progress for meeting those goals, and a new set of goals for the coming year. Each vice-president then combines these reports to prepare an Annual Report from each of the three vice-presidential areas. The President then uses these three reports to prepare the Annual Report of the President. Each of these reports has essentially the same format. The final report from the President contains both administrative and general short-term university goals for the coming year, as well as an analysis of last year's goals and the success made in meeting them. These reports are prepared after the planning process has been completed and therefore may contain goals which are designed to implement the recommendations of the planning process. In this way, the recommendations of the planning process get carried into the administrative structure and become objectives for fulfillment by the administration. The Annual Report of the President then becomes, in part, a plan on how to carry out the recommendations of the planning process. This approach has proven effective and insures the administration's commitment to implement the planning process recommendations.

Figure 6

ANNUAL "ROLLING" PLANNING PROCESS

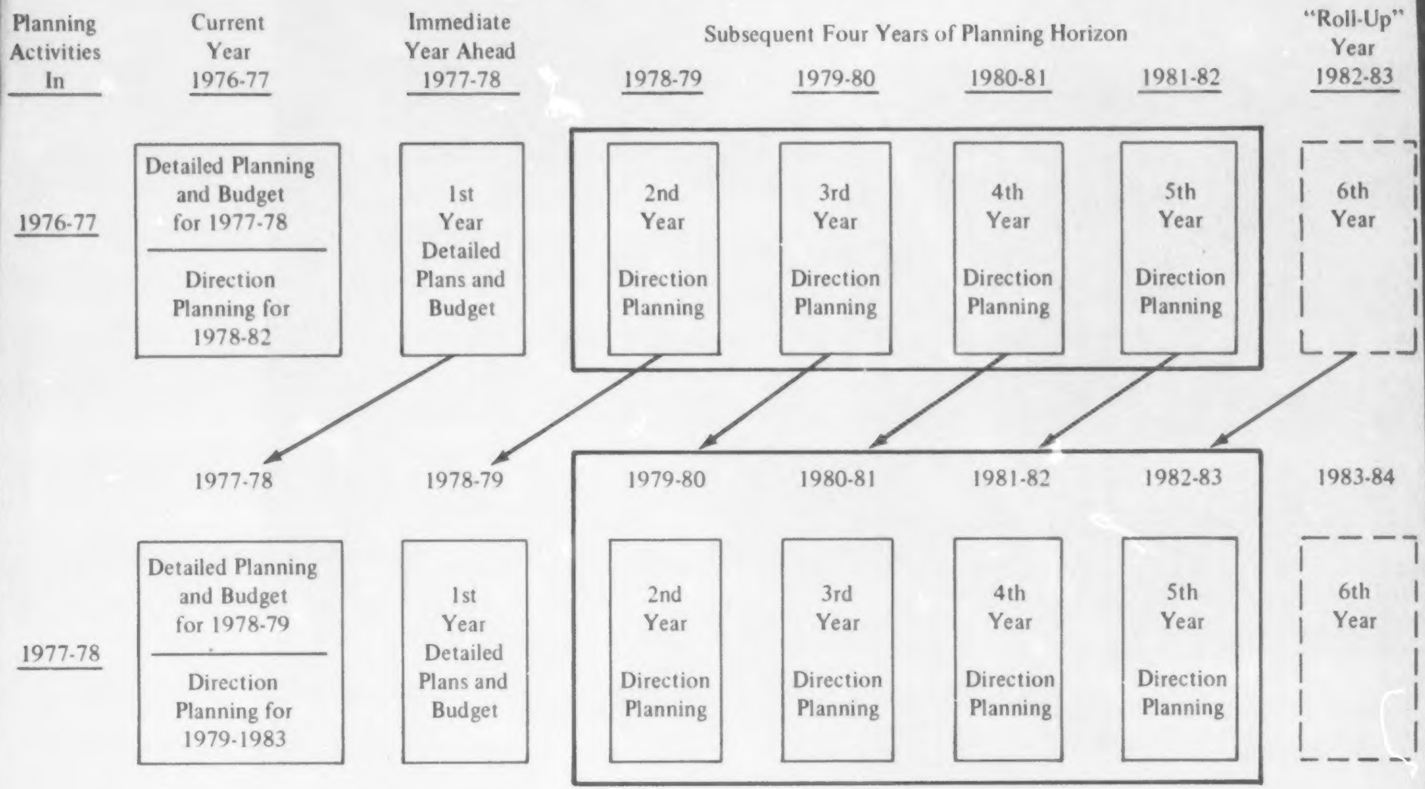
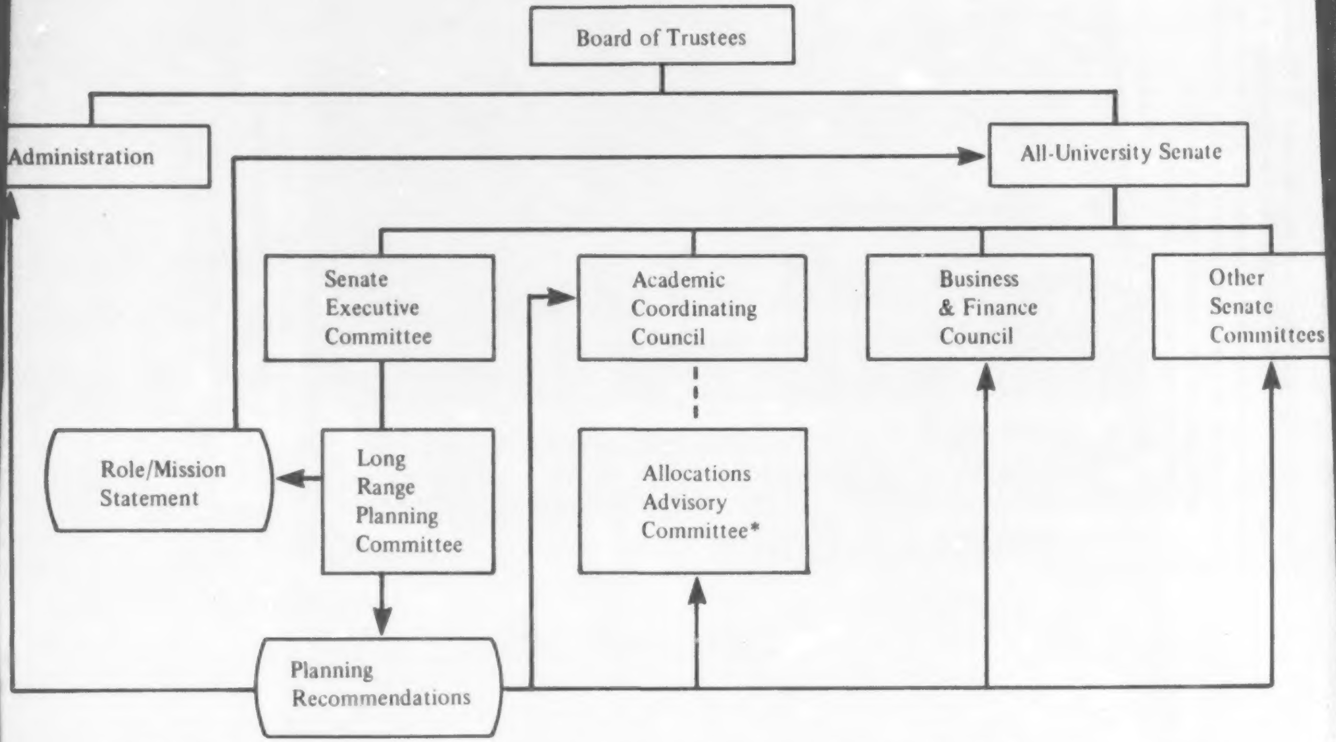

Planning Activities In
Current Year 1976-77
Immediate Year Ahead 1977-78
Subsequent Four Years of Planning Horizon
1978-79
1979-80
1980-81
1981-82
"Roll-Up" Year 1982-83
1976-77
Detailed Planning and Budget for 1977-78
Direction Planning for 1978-82
1st Year Detailed Plans and Budget
2nd Year Direction Planning
3rd Year Direction Planning
4th Year Direction Planning
5th Year Direction Planning
6th Year
1977-78
1978-79
1979-80
1980-81
1981-82
1982-83
1983-84
1977-78
Detailed Planning and Budget for 1978-79
Direction Planning for 1979-1983
1st Year Detailed Plans and Budget
2nd Year Direction Planning
3rd Year Direction Planning
4th Year Direction Planning
5th Year Direction Planning
6th Year

Figure 7

RELATIONSHIP BETWEEN PLANNING AND GOVERNANCE


Board of Trustees
Administration
All-University Senate
Senate Executive Committee
Academic Coordinating Council
Business & Finance Council
Other Senate Committees
Role/Mission Statement
Long Range Planning Committee
Allocations Advisory Committee*
Planning Recommendations

*The AAC is appointed by the Academic Coordinating Council but recommends to the Vice-President for Academic Affairs/Provost.

PREPARATION OF UNIT PLANS

Introduction

Section 1: Narrative

Goals and Objectives Established and Reviewed

Plans of units will be composed of three major sections: the Narrative, the Planning Form, and the Data Forms. This common-three-part structure will facilitate the evaluation of unit plans and the development of the Institutional Plan. In the *Narrative,* unit goals will be reviewed and evaluated, the basis for establishing goals is to be discussed, and goals and objectives are to be identified and an analysis of the effect of space factors on the program is to be given.

Because of the change in the timetable and the shortened period for the preparation of next year's plan, it will not be necessary to write a whole new plan unless the unit wishes to do so. If the unit does not wish to submit a new plan, it may submit last year's plan with the addition of the evaluation of the 1976-77 goals and a revision of the data section. If you resubmit last year's plan, please indicate the new sections.

Section 2: Planning Form

Proposed Program Changes or New Programs

On the *Planning Form,* proposed changes will be described: their goals, objectives, activities and evaluation criteria; costs in terms of personnel, budget and space factors. Each new program proposal or program change requires a separate planning form.

Section 3: Data Forms

The *Data Forms* will contain actual and projected data on SCH, FTE, support costs, majors, degrees granted, summer session. The actual data for each of these variables for the years 1973-74, 1974-75, 1975-76, and 1976-77 is contained in last year's plan and may be copied from there. The data for future years are to be projected by each unit. Details on how to fill out each of these three sections are provided below. A definition of planning terms is given in the Glossary.

Supporting Data and Information

The unit plans should be arranged in the following sequence:

- Cover Page
- Narrative
- Planning Forms
- Data Forms
- Appendices (if any)

PLANNING CRITERIA AND CONSTRAINTS

The following factors are for your consideration when developing your plan.

Enrollment projections and other institutional data are given for your use in the Appendix. At the present time, it is anticipated that enrollments will be essentially stable over the next three or four years with a decline beginning in 1981 or 1982. For the academic years 1974-75, 1975-76, and 1976-77 the total faculty attrition has been 11, 11, and 17, respectively.

Limited New Faculty Resources for Future

Less than half of these positions have been available for reallocation. It is anticipated that this low level of attrition will continue for the next several years. Thus, it is unlikely that there will be more than about a half-dozen positions available for reallocation from this source. It is also unlikely that there will be more than a few new positions each year, if any, unless the legislature changes our percentage of staffing formula, which does not appear to be probable. *This means that only those programs with the highest institutional priority can expect to get additional faculty resources in the foreseeable future.* Any unit may submit a request for a new program. However, units which are requesting expansion of present programs will be bound by their classification under the groups established by the Program Study Committee (see Glossary).

Groups I and II

Reallocation Necessary

Programs in Groups I and II are not expected to receive additional resources during the next several years. Therefore expansion of programs for units within this category must be accomplished by reallocation from other areas within the unit. Evidence of such reallocation must accompany any request for program expansion. In particular, details of changes in faculty assignments, reallocation of operating dollars and space reallocations must be part of such a proposal.

Group III

Programs in Group III are those which have a potential for growth over the next several years. It is anticipated that only Group III units will receive additional allocations, and only if they receive both high college and high institutional priorities.

Capital Budget Planning Part of Overall Process

In this planning cycle the capital budget planning has been incorporated into the overall planning process. The start of the capital budget planning process is in the requests for academic programs which come from the academic units; so please be sure when proposing a new program or program expansion to continue to include the space and equipment details pertinent to the program, since they will be used as the basis for capital budget requests. This combination of capital planning with academic planning should better enable us to justify our capital requests and hopefully improve our chances of having them granted.

Unit Plan Section 1: Narrative

The first section of the unit plan, the Narrative, is to be used to provide a description of the unit's goals and priorities and their evaluation. The following format is recommended so that narratives of all units will have some degree of consistency and comparability.

The format:

1. Evaluation of Past Goals and Objectives
2. Bases and Assumptions for Selection of Present Goals and Objectives
3. Present Goals and Objectives
4. Activities and Requirements Necessary to Carry out the Goals and Objectives

If a segment of the format is inappropriate or inapplicable to a particular planning unit, a brief explanation should be provided. If there are topics not covered by the format which the unit believes are important to discuss, they should be added and discussed.

Unit Plan Section 2: Planning Form

The Planning Form is designed to provide a detailed explication of new programs or program modifications being proposed by the planning unit. The basic sections of the Planning Form are: (1) the purpose and goal of the proposed program; (2) a description of how the program will be evaluated; and (3) a discussion of the resources necessary to develop the program in terms of faculty, staff, budget, and space. The Planning Form is designed to assist the unit in developing the cost benefit analysis of the new program or program change.

It is important to provide considerable detail on requests for changes or additions in space since this information will provide the basis for capital budget requests. If more than one program or program change is being submitted, please present them in priority order. A separate Planning Form should be completed for each program or program change. If it is deemed necessary to supply information in addition to what is requested in the form, please attach it as an appendix. Program expansions proposed by Group I and Group II units must include plans for internal reallocation of resources sufficient to meet those expansions.

Unit Plan Section 3: Data Forms

Introduction. The third major section of the unit plans will be the Data Forms, which describe the quantitative aspects of the unit's activities. The forms describe selected elements of the unit's quantitative productivity (SCH, majors, degrees granted) and selected elements contributing to that productivity (FTE allocations and support costs). Information on these factors for the previous three years is provided in the data in last year's plan and from the Office of Institutional Research.

Each unit will be expected to make its own projections and estimates of future values it anticipates for each of the variables.

In developing planning projections it is suggested that all relevant sources, such as the Department of Labor Statistics, enrollment projections, etc., be used in order to obtain the most accurate possible predictions for that unit. Since the members of each planning unit know their qualitative and programmatic assumptions, goals, objectives, and activities better than anyone else, they are the ones requested to make their own projections and estimates. However, the Office of the Vice-Provost for Instruction and Planning is ready to provide assistance and information to any unit that requests it in the development of its projections.

(The Narrative Format)

(Planning Unit)

NARRATIVE OF ____

1. **Evaluation of Past Goals and Objectives**
Summarize briefly the major goals and objectives of your unit which were stated in your 1976-77 plan. For each goal and its accompanying objectives please indicate one or more of the following:

   a. The goal and/or objective has been fulfilled

   b. The goal and/or objective has been partially fulfilled. Describe what parts of the goal/objective have been fulfilled and what remains to be carried out. What problems or circumstances prevented the unfulfilled parts of the goal/objective from being carried out?

   c. The goal and/or objective was not fulfilled. Explain what problems or circumstances prevented the goal/objective from being carried out.

   In each of the cases please indicate the qualitative and quantitative criteria by which you assess your success in meeting or not meeting your goals and objectives.

2. **Bases and Assumptions for Selection of Present Goals and Objectives**
Explain the factors which have influenced and may influence your planning unit's selection of goals and objectives—now, in the immediate future, five years from now, and ten years from now. Please consider the relation of your unit's academic role to the roles and mission of WWU. You may also want to consider the criteria used for judging program changes which are listed in the Long Range Planning Committee Narrative section of the 1976-77 Institutional Plan. Additional factors:

   - the nature of your academic discipline or area of emphasis now and changes forecast or anticipated in the next five and ten years—regionally, nationally, and internationally

   - the new focus, emphasis, organization, or modes of instruction suggested by changes in your academic discipline or area of emphasis

   - the career and/or graduate study opportunities available to students completing your program now and changes forecast or anticipated in the next five and ten years

   - enrollment trends

   - present and future needs of society

   - present and future concerns of your unit with, for example, graduate interdisciplinary or professional programs

   - the need for greater flexibility in the form and duration of higher education

3. **Goals and Objectives**
Based upon your analyses in Sections 1 and 2 above, please describe and prioritize the goals and objectives for your unit in the present, five years from now, and ten years from now. If you foresee your unit's goals or objectives remaining the same in the future as now, so indicate. Your goals should cover the areas of instruction, research or other scholarly and creative activity, and public service.

4. **Activities**

Describe the activities your unit employs or will employ to achieve each of the goals and objectives listed in Section 3.

Goals and Objectives of the Unit as described in the Narrative should be consistent with the Roles and Missions Statement in the 1976-77 Plan. When writing the Narrative, please indicate the function and role of your unit within its college and Western as a whole. Indicate how this might change in the future, given changes in student demand, the job market, and educational structure. Please describe any unique requirements of your unit in terms of mode of instruction or physical facility.

(Sample Cover Page for the Planning Form)

PLANNING FORM FOR ______________________________
(Unit)

PROPOSED PROGRAM CHANGE

PROGRAM TITLE ______________________________

Check as appropriate:

( ) New Program
( ) Expansion
( ) Improvement
( ) Deletion
( ) Contraction

PRIORITY NUMBER ______________

PROPOSED QUARTER AND ACADEMIC YEAR OF IMPLEMENTATION ______________

PLANNING FORM

1. Describe: a. The Proposed Program Change
   - b. The Goal(s) of the Change
   - c. The Objectives Which Contribute to the Goal(s)
   - d. The Activities Designed to Accomplish the Objectives

2. What is the rationale for this program change?

3. Explain how your planning unit will assess the effectiveness of its activities in accomplishing the objectives of this program change. In discussing program evaluation include both quantitative and qualitative criteria.

4. What alternative activities might also accomplish the objectives of 1(c)?

5. Estimates of Program Change Cost Factors.
   Please provide estimates of each of the appropriate factors for the first three years following the start of the program change.

   a. Number of new Faculty FTE positions

   b. Number of new Classified Staff FTE positions

   c. Budget: Student help salaries
      Goods and services
      Travel
      Equipment
      Other

   d. Space Requirements: Number of classrooms
      Size of classrooms (number of stations)
      Number/size of labs (number of stations)
      Number of offices
      Estimated cost of remodeling
      Other

   e. Media Facilities: Library acquisitions
      Media equipment
      Other

6. Explanation of Program Change Cost Factors
   Please provide where appropriate an explanation of the items listed in Item 5.

   a. Competencies and functions of new faculty

   b. Competencies and functions of new classified staff

   c. Budget items for student help, goods and services, and travel

   d. Space: Impact on your unit's space and/or institutional space from the proposed program change (e.g., additional space; remodeling of space; more sections to be scheduled in seminar rooms, labs, etc.). Will it be necessary to make a capital budget request to carry out this proposal? If so, explain. Can this program be carried out if the additional space is not available in your present building?

   e. Ed Media: Nature and quantity of each item

General Information About the Five Data Forms

Data Form I: Student Credit Hour Production

SCH information is provided for 1973-74, 1974-75, 1975-76 (estimated) in the 1976-77 Plan; units are requested to provide SCH projections for the years 1977-78 through 1979-80 and estimates for 1982-83 and 1987-88.

Data Form I requests that SCH estimates be made at the lower-division, upper-division, 500-level, and 600-level. This is necessary in order to use the faculty generation formula to determine the number of faculty generated at each of these levels.

Data Form II: Full-Time Equivalent Faculty

Actual information on FTE Faculty for each unit is provided in the 1976-77 Plan for the past three years. Planning units are asked to project their FTEF requirements by rank for 1977-78, 1978-79, 1979-80 and to estimate total requirements for 1982-83 and 1987-88.

Data Form III: Support Costs

Support cost information for each unit is available for the past three years in the 1976-77 Plan. The planning units are requested to project and estimate classified staff requirements and budget requirements. Please separate classified staff into office staff and technicians. The budget requirements consist of the sub-categories of student hourly help, goods and services, travel, and equipment. This form is designed to facilitate analysis of non-faculty personnel and operational costs for the unit.

Data Form IV: Majors and Degrees Granted

The information on numbers of majors and degrees granted for the last three years is available in the 1976-77 Plan. For majors, numbers shown will be for spring quarters. For degrees granted, the numbers shown will be cumulative totals for the academic year plus the previous summer quarter. Planning units are asked to project majors and degrees granted for 1977-78, 1978-79, and 1979-80 and to estimate them for 1982-83 and 1987-88.

Data Form V: Summer Session Information

SCH and FTE faculty information for summer session is also available for the past three years in the 1976-77 Plan. Units are requested to project and estimate information for the summer sessions of 1978, 1979, 1980, 1982, and 1987.

INSTRUCTIONS FOR COMPLETING DATA FORM NO. I

Student Credit Hour Production

1. **Student Credit Hours (SCH).** For each of the four course levels, report the SCH which was generated by faculty budgeted to your planning unit in fall quarter 1977-78. Add the four course levels together and enter the total on the "All Levels" line. Project the SCH for the four course levels for winter and spring quarters of 1977-78.

2. **Annual Average.** Add together the projected SCH of the three quarters for each course level and then for the "All Levels" line. Divide each total by 3. Round answers to two decimal places. (Round upward any number with a decimal of .500 or more and round downward any number with a decimal of .499 or less.) Enter answers on the "Annual Average" lines, according to course level.

   Repeat Steps 1 and 2 above for 1978-79 and 1979-80. For 1982-83 and 1987-88 enter only estimated totals on the "All Levels, Annual Average" line.

3. **Planning Unit Total SCH as a Percent of WWU Total SCH.** Calculate your planning unit's percentage of WWU's total SCH by dividing your unit's "All Levels, Annual Average" SCH for 1977-78 by WWU's "Annual Average" SCH for 1977-78. Round answers to two decimal places. Repeat for each year through 1985-86.

Example:	1977-78
Planning Unit SCH	4875
WWU SCH	113961

Calculation: 4875 divided by 113961 = .04277 or 4.28%

Western Washington University

Data Form No. I

Student Credit Hour Production
Actual and Projected

Planning Unit ____________

Date of Submittal ____________

		Actual			Projected			Estimated	
		1974-75	1975-76	1976-77	1977-78	1978-79	1979-80	1982-83	1987-88
Planning Unit Student Credit Hours									
Lower Division –	Fall Quarter							XXXX	XXXX
	Winter Quarter							XXXX	XXXX
	Spring Quarter							XXXX	XXXX
	Annual Average								
Upper Division –	Fall Quarter							XXXX	XXXX
	Winter Quarter							XXXX	XXXX
	Spring Quarter							XXXX	XXXX
	Annual Average								
500 Level –	Fall Quarter							XXXX	XXXX
	Winter Quarter							XXXX	XXXX
	Spring Quarter							XXXX	XXXX
	Annual Average								
600 Level –	Fall Quarter							XXXX	XXXX
	Winter Quarter							XXXX	XXXX
	Spring Quarter							XXXX	XXXX
	Annual Average								
All Levels –	Fall Quarter							XXXX	XXXX
	Winter Quarter							XXXX	XXXX
	Spring Quarter							XXXX	XXXX
	Annual Average								
WWU Student Credit Hour Totals									
	Fall Quarter							XXXX	XXXX
	Winter Quarter							XXXX	XXXX
	Spring Quarter							XXXX	XXXX
	Annual Average								
Planning Unit All Levels Annual Average SCH as a % of WWU Annual Avg. SCH									

INSTRUCTIONS FOR COMPLETING DATA FORM NO. II

Full-Time Equivalent Faculty

1. **Full-Time Equivalent Faculty (FTEF) Allocations.** Report your faculty staffing level by rank for fall quarter 1977-78. Project by rank the number of FTEF needed to generate the SCH projected on Data Form No. I for 1978-79 and 1979-80. For 1982-83 and 1987-88 enter only estimated FTEF totals on the "Total—All FTEF Allocations" line.

2. **Planning Unit as a Percent of WWU Total FTEF.** Calculate your unit's percent of WWU's total FTEF by dividing your unit's 1977-78 Total—FTEF by WWU's 1977-78 total—FTEF. For the method of calculation, see Instructions for Data Form No. I, Step 3. Repeat the process for the other years on the form, rounding answers to two decimal places.

3. **Annual Average SCH per FTEF.** Calculate your unit's annual average SCH/FTEF by dividing the 1977-78 FTEF on the "Total—All FTEF Allocations" line into the 1977-78 SCH on the "All Levels, Annual Average" line of Data Form No. I. Repeat the process for the other years on the form, rounding answers to the nearest whole number.

Western Washington University

Data Form No. II

Full-Time Equivalent Faculty
Actual and Projected

Planning Unit ____________

Date of Submittal ____________

	Actual			Projected			Estimated	
	1974-75	1975-76	1976-77	1977-78	1978-79	1979-80	1982-83	1987-88
Full-Time Equivalent Faculty (FTEF) Allocations								
Planning Unit (PLU)								
Professor							XXXX	XXXX
Associate Professor							XXXX	XXXX
Assistant Professor							XXXX	XXXX
*Other							XXXX	XXXX
Sub-Total—FTEF Allocation							XXXX	XXXX
Teaching Assistant Allocation							XXXX	XXXX
Total—All FTEF Allocations								
WWU Total—FTEF Allocations								
Planning Unit FTEF Allocations as a % of WWU FTEF Allocations								
Annual Average SCH per FTEF (SCH/FTEF)								
Planning Unit Annual Average SCH/FTEF								
WWU Annual Average SCH/FTEF								

*"Other" should include allocated faculty in the positions of: Instructor; Lecturer; Affiliate; Resident Center Appointments; and Conversions to Teaching Assistants.

INSTRUCTIONS FOR COMPLETING DATA FORM NO. III

Support Costs

1. **Classified Staff, Man-Years.** Project and estimate by man-years the number of full-time equivalent civil-service covered positions your unit will need to support its faculty. (Haggard Hall Shop and Fifth-Year Advisement personnel need not be included in either projections or estimates.) Provide answers rounded to two decimal places for all years on the form.

2. **Classified Staff, Amount.** Using current salary levels, project the salary dollars to fund the proposed classified staff man-years. (Do not build in possible salary increases.) Please separate classified staff man-years into those for office staff and for technical staff. Provide answers rounded to two decimal places for all years on the form.

3. **Budget.** Project your budget by category (student help, goods and services, travel, and equipment) for the next three years.

4. **Total—Support Costs.** Add the classified staff costs to the costs of each budget item for each of the three projected years. Estimate the total cost for 1982-83 and 1987-88.

5. **Planning Unit as a Percentage of WWU Support Costs.** Calculate your unit's percent of WWU's support costs by dividing your unit's total support costs for 1977-78 by WWU's total support costs for 1977-78. See Instructions for Data Form No. I, Step 3, for the method of calculation. Repeat the process for each year on the form.

6. **FTEF to Classified Staff Ratio.** Calculate your unit's ratio of FTEF to classified staff by dividing its classified staff man-years for 1977-78 into its total FTEF allocations for 1977-78 as projected on Data Form II. Round the answers to one decimal place.

7. **Support Costs per FTEF.** Calculate support-cost dollars per FTEF by dividing your unit's "Total—Support Costs" by its "Total—All FTEF Allocations" on Data Form No. II. Calculate this relationship for each year shown, rounding answers to the nearest whole number.

Example:	1977-78
Support Costs	$50,000
FTEF Allocations	17.25

   Calculations: 50,000 divided by 17.25 = 2898.55 or 2899

8. **Support Costs per SCH.** Calculate support costs per SCH by dividing your unit's support costs for this year projected on the "Total—Support Costs" line by its SCH for this year on the "All Levels, Annual Average" line of Data Form I. Repeat the above process for each year on the form, rounding answers to two decimal places.

Western Washington University

Data Form No. III

Support Costs
Actual and Projected

Planning Unit ____________

Date of Submittal ____________

	Actual			Projected			Estimated	
	1974-75	1975-76	1976-77	1977-78	1978-79	1979-80	1982-83	1987-88
Support Costs and Staff Years								
Planning Unit (PLU)								
Office Staff—Staff Years								
Office Staff – Cost – Costs							XXXX	XXXX
Technicians—Staff Years								
Technicians – Costs							XXXX	XXXX
Student Help – Costs							XXXX	XXXX
Goods and Services – Costs							XXXX	XXXX
Travel – Costs							XXXX	XXXX
Equipment – Costs							XXXX	XXXX
Total—Support								
WWU Totals								
Classified Staff—Staff Years								
Support Costs								
PLU as a % of WWU Support Costs								
FTEF to Classified Staff Ratio								
Planning Unit Ratio								
WWU Average Ratio								
Support Cost per FTEF								
Planning Unit Cost Per FTEF								
WWU Average Cost per FTEF								
Support Cost per SCH								
Planning Unit Cost per SCH								
WWU Average Cost per SCH								

INSTRUCTIONS FOR COMPLETING DATA FORM NO. IV

Majors and Degrees Granted

1. **Numbers.** Project and estimate your unit's number of majors during the spring quarter of each year on the form and degrees granted (bachelor's and master's) during the entire academic year plus the summer quarter preceding each year.

2. **Planning Unit as a Percent of WWU Totals.** For each year on the form, calculate your unit's percent of WWU's totals by dividing your unit's number of majors and degrees granted by the corresponding numbers for WWU. See Instructions for Data Form No. I, Step 3, for the method of calculation. Round answers to two decimal places.

Western Washington University

Data Form No. IV

Majors and Degrees Granted
Actual and Projected

Planning Unit

Date of Submittal

	Actual			Projected			Estimated	
	1974-75	1975-76	1976-77	1977-78	1978-79	1979-80	1982-83	1987-88
Majors								
Planning Unit (PLU) Number								
WWU Number								
Planning Unit Total Majors as a % of WWU Total Majors								
Degrees Granted—Bachelor								
Planning Unit (PLU) Number								
WWU Number								
Planning Unit Total Bachelors as a % of UUW Total Bachelors								
Degrees Granted—Master								
Planning Unit (PLU) Number								
WWU Number								
Planning Unit Total Masters as a % of WWU Total Masters								

INSTRUCTIONS FOR COMPLETING DATA FORM NO. V

Summer Session Information

1. **Student Credit Hours (SCH).** For each of the four course levels, project the SCH produced during the next three summer sessions. Enter projections, add each column, and enter the totals on the "Total—All Levels" lines.

2. **Planning Unit as a Percentage of WWU Total SCH.** Calculate your unit's percent of WWU's total summer SCH by dividing your unit's "Total—All Levels" SCH for next summer by WWU's "Total—All Levels" SCH for next summer. See Instructions for Data Form No. I, Step 3, for the method of calculation. Repeat the process for each year on the form, rounding answers to two decimal places.

3. **Full-Time Equivalent Faculty (FTEF).** Estimate the total FTEF needed to generate the total summer SCH projected in Step 1 above. Enter projections on the "Planning Unit—Total" line for each year on the form.

4. **Planning Unit as a Percent of WWU Total FTEF.** For each year on the form, calculate your unit's percent of WWU's total FTEF by dividing your unit's "Total" FTEF by "WWU—Total" FTEF. See Instructions for Data Form No. I, Step 3, for the method of calculation. Round answers to two decimal places.

5. **SCH per FTEF (SCH/FTEF).** Calculate your unit's SCH/FTEF for each year by dividing your unit's "Total—All Levels" in the SCH section by "Planning Unit—Total" in the FTEF section for that year. Repeat the process for each year on the form, rounding answers to the nearest whole number.

PREPARATION OF SUPPORT UNIT PLANS

Because of their different structure and function from academic units, support units are requested to submit their plans in a format different from academic units. Support units are defined as the following: Computer Center, Library, Educational Media, and Continuing Education. These units should use the following format in developing their plans:

1. **Goals and Objectives.** The format for this section should be the same as Goals and Objectives sections for academic units.

2. **Services.** Please describe the primary services performed by your unit and how they are provided. Please provide an organizational plan.

3. **Program Changes.** In this section please provide any changes that your unit proposes. Use the same format as that used for academic units. If additional information is necessary, please append it to those forms.

4. **Data**

   a: **Operational Data:** In this section provide information for the last three years and projections for the next two years that describe the amount of service that your unit provides. For example, in the Library: acquisitions, serials, number of books circulated; in the Computer Center: the distribution among instructional, research, and administrative computing; in Continuing Education: the number and type of courses given each quarter.

   b. **Budget:** In this section describe in detail the budget of your unit for the last three years and projections for the next two years. Include the number and type of your personnel.

Western Washington University

Data Form No. V

Summer Session Information
Actual and Projected

Planning Unit

Date of Submittal

	Actual			Projected			Estimated	
	1974	1975	1976	1977	1978	1979	1982	1987
Student Credit Hours (SCH)								
Planning Unit (PLU)								
Lower Division							XXXX	XXXX
Upper Division							XXXX	XXXX
500 Level							XXXX	XXXX
600 Level							XXXX	XXXX
Total–All Levels								
WWU								
Lower Division							XXXX	XXXX
Upper Division							XXXX	XXXX
500 Level							XXXX	XXXX
600 Level							XXXX	XXXX
Total–All Levels								
Planning Unit Total SCH as a % of WWU Total SCH								
Full-Time Equivalent Faculty (FTEF)								
Planning Unit–Total FTEF								
WWU–Total FTEF								
Planning Unit Total FTEF as a % of WWU Total FTEF								
SCH per FTEF (SCH/FTEF)								
Planning Unit–Average SCH/FTEF								
WWU–Average SCH/FTEF								

GLOSSARY OF PLANNING TERMS USED IN PLANNING AT WESTERN WASHINGTON UNIVERSITY

Activity. A task which, accomplished, contributes to the achievement of an objective. An objective tells *what* is to be accomplished, an activity tells *how*. (See the discussion at the end of the Glossary, which relates goals, objectives, and activities.)

Evaluation. A systematic process for determining or estimating effectiveness. Evaluation is based upon a comparison of actual results with planned results.

Goal. A long-term aim of a program; a statement of intent or aspiration. Describing the direction in which a Planning Unit is moving, a goal has no time constraints. Although *goal* and *objective* are terms often used interchangeably, goals are long-range and the end result generally never totally attained; objectives are shorter range and, once accomplished, steps in the direction of attaining a goal. (See discussion at the end of the Glossary.)

Examples of goals:

- To offer and conduct programs which will attract and prepare students who will become leaders in . . .
- To extend man's knowledge in the area of . . .
- To serve the local, state, and national community through intellectual resources of faculty and students.

Groups. The following definitions of Group I, II, and III are from the Program Study Committee Report:

Group I. Downward Readjustment. Programs in this group (although many are staffed below the ideal 100% of formula) are staffed more liberally than is generally true at Western. The goal should be to bring them closer to the institutional average. (When and if these departments improve their position relative to use of institutional resources they should be moved to Group II or III.)

Group II. No Change. Though some of those in this group are staffed below institutional formula (and far below the ideal 100% of formula) they are successfully carrying out their basic responsibilities with present staffs. Vacancies resulting from retirement or resignation should be replaced but no other changes in staffing are recommended.

Group III. Upward Readjustment. This group is made up of departments staffed substantially below the college norm and need more faculty to discharge their responsibilities. They should be the first to benefit when new allocations are available, and requests for additions should be included in the next budget.

Objective. A step in the direction of attaining a goal; a desired result achieved through accomplishment of specific activities. An objective is time-limited and measurable, quantitatively and/or qualitatively, in that at any point in time, its degree of achievement can be identified. Although *goal* and *objective* are terms often used interchangeably, goals are long-range and the end result generally never totally attained; objectives are shorter range and, once accomplished, steps in the direction of attaining a goal. (See the discussion at the end of the Glossary.)

Examples of objectives:

- To generate grant support for Program X.
- To provide field-centered opportunities for students in Program Y.
- To improve students' abilities to develop ideas systematically.

Planning Unit. A department, cluster college, the Honors Program, any interdepartmental or interdisciplinary program, or a self-determined group which constitutes itself as a unit in order to plan for implementing distinctive programs which differ from existing structures or programs.

Goals, Objectives, and Activities

These three concepts are major planning components, which progress on a continuum from *goals* (the most general, abstract, and long term) through *objectives* (intermediate) to *activities* (the most specific, concrete, and short term).

> Hypothetical Planning Unit X, for example, may include among its goals this hypothetical one: To offer and conduct programs which will attract and prepare students who will become leaders in the legal profession. As one step in the direction of attaining that goal, Unit X might establish this objective: To develop a program of quality in environmental law. In order to achieve that objective, the unit may determine upon such activities as these: Survey the need for such a program; if the need is demonstrated, study here and abroad the public-private ramifications of environmental issues; examine pertinent legal precedents; after appropriate additional steps, prepare a syllabus and proposal for the program, determine the quality of pertinent textbooks; etc., etc. and so on through offering the course and establishing criteria for its evaluation.

Villa Maria College

Catholic Women's College

Villa Maria College, located in the suburbs of Erie, Pennsylvania, is a private, four-year, liberal arts, Catholic college for women. The College was founded in 1925 by the Sisters of Saint Joseph, to provide higher education for women in a world that then, for the most part, denied them a college experience. Today, its purpose is to assist modern women to define, interpret, and intelligently direct their contribution to the so-called new feminism. This is fostered by a curriculum, anchored in the liberal arts but with a strong career orientation, that aims to prepare students to participate with dignity and forcefulness in the emerging new life styles for women.

Board of Trustees

A 25-member Board of Trustees governs the College. The Board includes three faculty and two student-body representatives. Board members have varying backgrounds and occupations and bring a broad-based perspective to College matters.

Full-time student enrollment was about 400 in 1976-77 and there were 52 full-time and 19 part-time faculty members. The student-faculty ratio is 12:1 and class size averages from 12-15 students.

ACADEMIC PROGRAM AND ORGANIZATION

Villa Maria College offers programs leading to either the Bachelor of Arts or Bachelor of Science degree, with majors available in 18 discipline areas. The College's academic structure is organized into five departments (each with a chairperson):

- Department of Education
- Department of Human Behavior
- Department of Humanities

- Department of Nursing
- Department of Science/Mathematics

The 18 discipline areas are appropriately housed in a department and each discipline has a director.

The chairperson of the Department of Nursing reports to the Dean of the Erie Institute for Nursing. The other four department chairpersons report to the Vice-President for Academic Affairs/Academic Dean. In turn, the Academic Dean is directly responsible to the President of the College. College-wide matters are addressed by the President's Council, whose members are the President, Vice-President for Academic Affairs, Vice-President for Finance and Planning, Vice-President for Student Development, and Dean of the Erie Institute for Nursing. All academic matters (other than course-specific concerns) are addressed through the College's academic planning process.

DESIGN OF ACADEMIC PLANNING AT VILLA MARIA COLLEGE

Annual, Continuous, and Cyclical Process

Academic planning, as the fundamental decisionmaking process for all academically related matters (including budget determination), has been evolving on a yearly basis since 1971. The design of the process of academic planning is annual, continuous, and cyclical. The process begins around October 1 of each academic year and culminates in April with an approved plan and budget for the next academic year. That plan is then adjusted as deemed appropriate during the academic year to which it applies in conjunction with the planning process focusing on the next year ahead. The process is also designed to address the four years after the immediate next year, although the amount of detail is substantially reduced. Thus, Villa Maria's process is similar to that of Western Washington in that both are five-year, "rolling" processes: for each cycle a year is added to the planning horizon while the immediate year ahead, which "rolls up," is addressed in detail. Figure 8 (page 113) portrays this five-year, rolling planning process as it also did for Western Washington's process.

Steps in the Planning Process

Step 1—

Faculty Participation in Proposals

The process begins with and builds from broadly based participation of discipline faculty in the preparation of program and budget proposals. The first effort to set proposal and budget priorities occurs at this level, as discipline faculty struggle with issues of program maintenance vs. program change, student needs vs. faculty needs, and various program objectives. These discipline-related judgments are further reviewed and critiqued at the academic-department level, where the review and establishment of priorities is expanded. This phase of the planning cycle, which can be thought of as the first step of the process, results in academic-department program and budget proposals that reflect the values and priority judgments of each department faculty.

The second step of the planning process involves a College-wide standing committee, called the Planning and Budget Committee. This committee comprises two subcommittees, the Planning Team and the Analytical Studies Team.

Step 2—

Planning Team Review

The Planning Team reviews departmental program proposals to determine whether the goals, objectives, and policies related to program proposals reflect the philosophy and mission of the College. The Planning Team forwards this material to the Analytical Studies Team.

Step 3—

Analytical Studies Team Analysis

The third step of the planning process is the review of tentative College-wide action plans by the Analytical Studies Team. The team provides internal analysis of these plans in light of specific criteria.

Step 4—

Planning Team's Tentative Annual Plan

The fourth step of the planning process begins when the Analytical Studies Team forwards the results of its work to the other subcommittee, the Planning Team. The Planning Team then—

1. Reviews the tentative summary from the Analytical Studies Team for acceptability, conferring as necessary with program directors on program modifications
2. Prepares final program plan summaries and a brief explanatory narrative for incorporation into the long-range plan

This preparation of final program plans represents a further expansion of priorities achieved through a more limited participatory review. Step 4 ends with the preparation of final program plan summaries.

The two subcommittees of the Planning and Budget Committee occupy key positions in Villa Maria's planning process, and their functions are described in more detail later in this case study.

Step 5—

Presidential Development of Annual College Plan

Step 5 of the planning process can be thought of as the implementation phase. The final program summaries are forwarded to the President of the College by the chairperson of the Planning Team. The President incorporates the program summaries in the overall College annual plan (which involves revenue and income expectations), and submits the whole to the Board of Trustees for approval. Approval by the Board of Trustees allows distribution of the College annual plan, including department budgets, to the College community.

Planning Calendar

Sequencing of Steps

The sequencing of various steps of the process is done on the basis of the academic year calendar. Figure 9 (page 114), a modified PERT chart, displays the major planning activities in chronological order.

Planning Materials

The academic planning process utilizes two basic reporting tools to support preparation and review of College issues, program proposals, and budget requests for action plans. These tools are the planning issue form and the action plan form.

Planning Issue Form

At all levels of participation in the planning process, the process seeks to identify those issues which, in the judgment of individuals, need attention if the College is to maintain vitality and integrity. These issues may or may not be directly academic-program-related but they still impact on the academic vitality and integrity of the College. A delphi technique is utilized to determine priority importance.

The form itself and the instructions for preparing the form are shown in figure 10 (page 115) and figure 11 (page 116).

In addition to requesting that new issues be identified, the current list is distributed to the College community asking that present issues be reviewed to determine whether or not they remain important issues. It is hoped that each year some of the issues will be solved to the satisfaction of the College community. A delphi technique is used to determine major issues.

Action Plan Form

This form is for the reporting of specific program proposals and related budget requests. Each program proposal, referred to as an action plan, is reported using this form. Actions taken to date are reported using a slightly modified version of this form referred to simply as the "updated form." Action plans can be concerned with current programs, program improvement, or new program proposals. Both the action plan form and the updated form include sections for reporting proposed actions for the future, a time line for indicating when the proposed action is intended to take place, projected costs, personnel requirements, space requirements, and support services. Also reported are measurable benefits to be derived from the proposed action (enrollment, revenue, cost reduction, grant, etc.). The action plan form is shown in figure 12 (page 117) and the updated form in figure 13 (page 119).

PLANNING ACTIVITIES SPECIFIC TO VILLA MARIA COLLEGE

Vice-President for Planning and Finance

The planning process is coordinated by the Vice-President for Planning and Finance, who is directly responsible to the President of the College. The basic planning responsibilities of this position are threefold:

1. Coordination of the continuous planning process within the institution
2. Service as chairperson of the Planning Team and the Analytical Studies Team (described in subsequent sections)
3. Preparation and distribution of the annually revised college plan

Analytical Studies Team

The Analytical Studies Team is a subcommittee of the Planning and Budget Committee. The Analytical Studies Team provides the necessary analytical work in the review and formulation of the annual college plan.

The Analytical Studies Team consists of:

- Vice-President for Planning and Finance, Chairperson
- Professional advisor (Trustee)
- Support programs representative—Coordinator of Auxiliary Services
- An academic representative from each department—Education, Human Behavior, Humanities, Science/Mathematics, and Nursing. The appointment of these academic representatives is made by the appropriate dean upon the recommendation of the departmental chairperson according to each department's chosen method of selection.
- Student Representatives—chosen according to the procedures established by the Student Council

Duties of the Analytical Studies Team include:

1. To analyze the program plans of all academic and support services departments using the following criteria:
    - Responsiveness to institutional goals and objectives
    - Consistency with institutional policies
    - Economic feasibility
    - Coordination of academic programs
    - Coordination of support services plan with academic plans
    - Consequences of alternative courses of action

2. To propose modifications of departmental program plans
3. To prepare the following tentative program summaries for the Planning Team:
    - Expenditure estimate summary
    - Program statistics summary
    - Program plan summary (academic and support)
4. To consider the College's policy on income and expenditures in all deliberations.

The Planning Team

The other subcommittee unit of the Planning and Budget Committee is the Planning Team. The Planning Team consists of:

- President
- Vice-President for Planning and Finance, Chairperson
- Vice-President for Academic Affairs/Academic Dean
- Vice-President for Student Services and Development
- Vice-President for Development
- Dean of the Erie Institute for Nursing
- Professional advisor (Trustee)
- One faculty member—elected through College Council procedures
- One student member—chosen according to the procedures established by the Student Council

Duties of the Planning Team:

1. To consider and propose changes in the institutional goals and objectives
2. To consider and propose changes in institutional policies
3. To review program plans for major deviations from the viewpoint of reasonableness and consistency
4. To send academic and support program plans to the Analytical Studies Team

PLANNING OUTLINE AND BACKGROUND INFORMATION

In order that the departmental faculty might design action plans that reflect the philosophy and mission of the College and meet the needs and expectations of its various constituencies, the Planning Team supplies them with background information gathered with the help of the Director of Institutional Research and the President's Council. This information is described in Parts I-VIII of the Planning Outline, figure 14 (page 121).

IMPETUS FOR ACADEMIC PLANNING

(As described by executive officers of
Villa Maria College)

The real impetus for academic planning at Villa Maria College was born from the need to strengthen the institution as an effective center for liberal learning. In 1966, there were 16 academic departments and as many chairpersons. Some of those departments had one faculty member who served as chairperson, student advisor, teacher, and decisionmaker. Areas of concentration grew without relationship to the philosophy of the College or to consideration of student needs. There were no clearly delineated lines for decisionmaking, there were no carefully defined guidelines for budget requests. Shared governance had not yet raised its controversial head at Villa Maria. Things, quite simply, were out of hand. The need for change was apparent; how to accomplish the change was not.

The first attempt took the form of various committees which were involved in extensive studies of the mission of the College, of the relationship of academic programs to that mission, and of the financial health of the institution. The questions that needed answers were all too evident. Finding a way to handle those questions on a continuing basis led to the conclusion that some kind of planning process was necessary.

College personnel attended workshops on Planning, Programming, Budgeting Systems (PPBS) and Management by Objectives (MBO). A Long-Range Planning Committee was established with the assignment to unify the pieces of PPBS and MBO. There was some improvement but not enough. In 1971, the Director of Corporate Development at the American Sterilizer Company was elected to membership on the Board of Trustees at Villa Maria. He brought with him extensive training and commitment to the Stanford Research Institute (SRI) method of planning for business. That same year, the Treasurer of the College attended a national workshop on planning, sponsored by the National Association of College and University Business Officers (NACUBO). The adaptation of the SRI plan to education and the application of some of the elements of the NACUBO plan were combined to form the basis for the planning process used at Villa Maria.

PURPOSES OF ACADEMIC PLANNING

(As described by executive officers of
Villa Maria College)

Villa Maria's purposes for planning have remained essentially the same. The articulation of those purposes has changed to insure that the language of planning in higher education remains current or to sharpen the clarity of the statements. The original statements were based on the work of Eurich and Tickton.* The updated statements continue to reflect those authors and include, also, the work of Griffin and Burks.**

The specific purposes for planning at Villa Maria:

1. To evaluate annually the statement of philosophy and goals of the College
2. To provide a clear statement of the limitations and/or restrictions of the College in achieving its mission
3. To describe the College as it currently exists
4. To involve the entire academic community in the planning process
5. To provide a framework for the systematic and continuous projection of education programs with specific emphasis on the requirements for human and financial resources
6. To maximize the effective use of limited resources by demanding accountability
7. To minimize the necessity for crisis-type reactions through annual reviews of operational effectiveness
8. To design a set of assumptions for the future

BENEFITS OF ACADEMIC PLANNING

(As described by executive officers of
Villa Maria College)

Benefits derived from the planning experience at Villa Maria:

1. **Responsive support from all segments of the academic community for the educational programs of the entire institution**

   Before faculty members were engaged in the planning process, their interests were narrow and specialized. Their participation in the process has created an awareness of the organizational and operational strengths and weaknesses of the entire institution.

2. **Assurance of consistency in decisions related to the establishment of new programs or the strengthening of existing programs**

   Conflicts and suspicions which existed among administrative and instructional personnel have been minimized. Because there has been an objective review of plans submitted and because the supporting documentation identified the benefit to the College, there is a willingness to accept decisions that are made in favor of a department other than one's own.

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*Alvin C. Eurich and Sidney G. Tickton, *Long-Range Planning and Budgeting at Colleges and Universities* (Washington, D.C.: Academy for Educational Development, 1972).

**Gerald Griffin and David R. Burks, *Appraising Administrative Operations: A Guide for Universities and Colleges* (Berkeley, Calif.: University of California, 1976).

3. **Maintenance of effective and efficient administrative policies**
   After a plan is approved an annual review is continued until there is evidence that the plan is successfully operative. If the implementation is acceptable to the Planning Team, the department then absorbs the program into its operating budget. If the program has not been administered properly, the department may be asked to discontinue it.
4. **Expanded data base**
   College personnel have learned the importance of accuracy in providing and interpreting data. The use of institutional data has not yet reached the degree of importance which ought to be attached to it. There is a need for sessions to teach personnel how to make better use of the data available.
5. **Improved communications**
   Self-observation and the dynamic changes which result have been basic to the participation in planning. Because this happens in a climate of interdependence, there has been an improvement in the area of communications.
6. **Documentation of the current status of the College and a blueprint for the future**
   The plan allows time for contingency actions without resorting to crisis decisions.
7. **Projection to its constituencies of a college that knows where it is and where it is going**
   The development of program planning along with budgetary considerations has been an important factor in approaching business and industry for funding. The success of a capital drive was due, partially, to the presentation of the plan.

DIFFICULTIES AND CONFLICT OF ACADEMIC PLANNING

(As described by executive officers of
Villa Maria College)

At various points in its planning process, Villa Maria identified problems so serious that it considered abandoning the entire project. Some, though not all, of those difficulties have been resolved. The resolution would have been impossible, however, had it not been for the experience of the process.

Major difficulties encountered were the following:

1. **Lack of time, funds, trained personnel, and faculty incentive**
   Villa Maria had no trained analysts and no one trained in planning management. All administrators and faculty members were already overburdened with heavy workloads. The College was enjoying one of its highest enrollments in history and the reasons for planning were certainly not evident.

The leadership of a trustee whose full-time work in industry dealt with planning and the appointment of a Director of Institutional Research were the first steps in the resolution of the problem.

Faculty incentive remained a problem for the first two cycles of the process. Once it was clear that no new monies would be channeled to their departments without participation in the process, there were subtle changes of attitude.

Even those departments where enrollments are high (and admission to the major is closed early in the year) have submitted some unique and creative plans for their departments. A full-time Director of Planning is still one of the goals of Villa Maria.

2. **Conflicts between individual and institutional goals**

Some faculty members were more intent on achieving their individual goals than on shaping programs that reflected the philosophy of the institution. Market demands were not always consonant with the needs of the students currently enrolled.

3. **Decentralized decisionmaking**

The trustees and executive college officers agreed that only a participatory planning process is appropriate at a college like Villa Maria. There were difficulties with some administrators and chairpersons who felt that some of their autonomy and power were being threatened.

Since each department was able to select a representative to review the plans, and after the process was completed, the fears in these areas were decreased considerably. At this point in time, they are practically nonexistent.

4. **Inability to make projections**

For faculty accustomed to responding to the daily demands of their work, thinking long-range was a serious stumbling block. Very little was written about a total planning process for small colleges when Villa Maria met this problem.

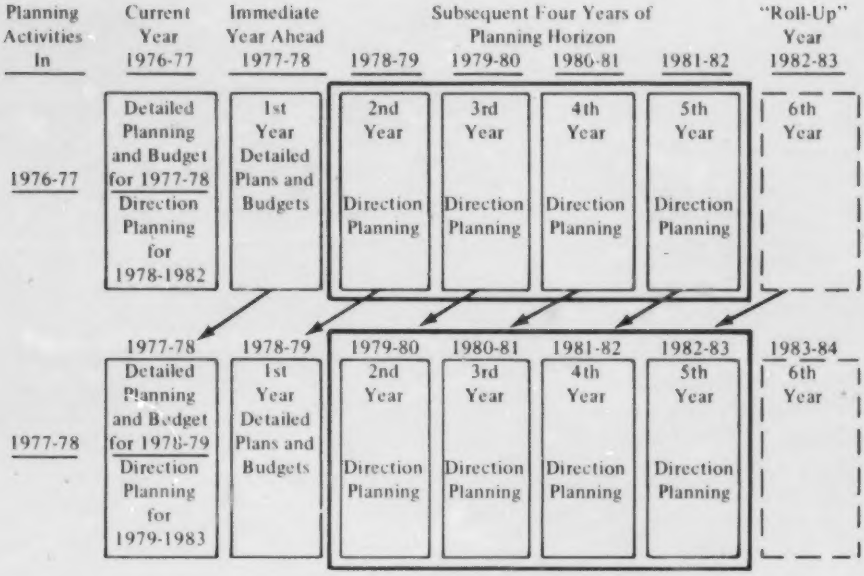
The confidence of faculty members was heightened when their efforts became part of a working document for the entire institution—a living document that would be used to govern the college and its activities for a year or five.

5. **Personnel conflicts**

During the first few years of using this method of planning, the Planning Assistant and the Chief Financial Officer were not the same person. Conflicts resulted because the Planning Assistant seemed to be involved with the budgetary considerations of the College in ways which lessened the authority of the Chief Financial Officer. This problem has been solved with the appointment of the Chief Financial Officer as the Planning Assistant.

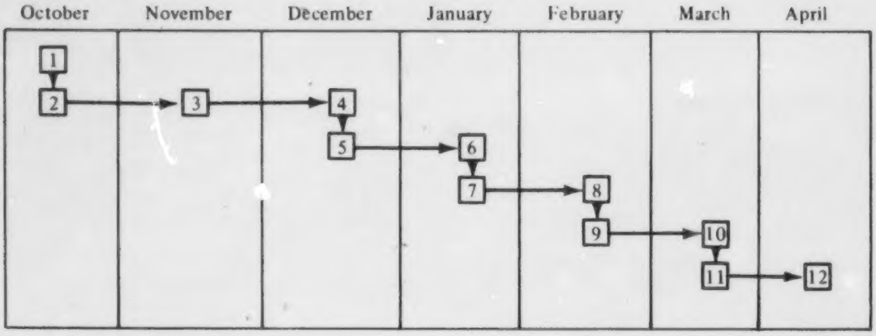
Figure 8

"ANNUAL ROLLING PROCESS"



Planning Activities In	Current Year 1976-77	Immediate Year Ahead 1977-78	Subsequent Four Years of Planning Horizon 1978-79	1979-80	1980-81	1981-82	"Roll-Up" Year 1982-83
1976-77	Detailed Planning and Budget for 1977-78 Direction Planning for 1978-1982	1st Year Detailed Plans and Budgets	2nd Year Direction Planning	3rd Year Direction Planning	4th Year Direction Planning	5th Year Direction Planning	6th Year
	1977-78	1978-79	1979-80	1980-81	1981-82	1982-83	1983-84
1977-78	Detailed Planning and Budget for 1978-79 Direction Planning for 1979-1983	1st Year Detailed Plans and Budgets	2nd Year Direction Planning	3rd Year Direction Planning	4th Year Direction Planning	5th Year Direction Planning	6th Year

Figure 9



1. Planning Team Distributes Planning Information and Planning Forms to Departments and Disciplines
2. Preparation of Discipline and Departmental Program Proposals and Budgets by Discipline Faculty
3. Discipline and Departmental Program Proposals and Budgets to Planning Team
4. Discipline and Departmental Program Proposals and Budgets Reviewed by Planning and Budget Committee
5. Analytical Studies Team Receives Reviewed Program Proposals and Budgets from Planning and Budget Committee
6. Analytical Studies Team Analyzes Proposals and Budgets
7. Analytical Studies Team Prepares Program Summaries
8. Planning Team Receives Program Summaries from Analytical Studies Team
9. Final Program Plan Summaries Prepared and Sent to President
10. President Prepares Annual College Plan
11. Board of Trustees Approves Annual College Plan
12. Annual College Plan Distributed

Figure 10

Planning Issue

Short Title ____________________

Issue No. ____________________

Date ____________________

Author ____________________

Area ____________________

Kind of Impact (indicate S-O-F-T) ____________________

Description of Issue

Supporting References

Ranges of Possible Action

Figure 11

INSTRUCTIONS FOR PREPARING THE PLANNING ISSUE FORM

General

Appraise each activity—consider present circumstances and those you foresee. In examining the area of your own jurisdiction, be mindful of those activities which are downstream and upstream of yours and thus affect you.

Specific

1. Under "Description of Issue" briefly describe the Planning Issue you have identified. Restrict the description to a single idea (i.e., do not include more than one issue even though several seem to be related). Use descriptive phrases that indicate what is "good" or "bad": Do not use action words that suggest what should be done about the issue.

2. Based on your description, classify the issue in the "Kind of Impact" line on the chart. Indicate "Satisfactory" or "Fault" for present circumstances; "Opportunity" or "Threat" for future possibilities.

3. Provide a brief (three or four words) recap of the issue in the "Short Title" space, using an appropriate adjective or adverb modifier that conveys the *essence* of your description of the issue (e.g., "Extending operating hours for ..."; "Decreasing the number of ...").

4. Under "Supporting References" provide backup references that support your appraisal. Give facts, if available, or cite instances where facts or expert opinions can be found. If your viewpoint is based largely on intuition or general experience with the subject, indicate this.

5. In the "Ranges of Possible Action" space, enter your suggestions concerning what should or might be done about the issue. If your information permits, indicate the likely resource requirements and anticipated benefits. Broad "order of magnitude" estimates for each suggested action are all that is called for at this point of your analysis.

Figure 12

Action Plan ______________________________ Date ______________

Department ____________________ Assigned ______________

Program ____________________ Approved ______________

A PHASE I B	Preliminary Information and Data Needed — — — — — Feasibility Evaluation Decision				
Time Line					
	Jan. Apr. July Oct. Feb. May Aug. Nov. Mar. June Sept. Dec.	Jan. Apr. July Oct. Feb. May Aug. Nov. Mar. June Sept. Dec.	Jan. Apr. July Oct. Feb. May Aug. Nov. Mar. June Sept. Dec.	Jan. Apr. July Oct. Feb. May Aug. Nov. Mar. June Sept. Dec.	Jan. Apr. July Oct. Feb. May Aug. Nov. Mar. June Sept. Dec.
	19 ___	19 ___	19 ___	19 ___	19 ___
PHASE II	Proposed Action (who, what, where, how, when, how much, etc.)				
Time Line					
	Jan. Apr. July Oct. Feb. May Aug. Nov. Mar. June Sept. Dec.	Jan. Apr. July Oct. Feb. May Aug. Nov. Mar. June Sept. Dec.	Jan. Apr. July Oct. Feb. May Aug. Nov. Mar. June Sept. Dec.	Jan. Apr. July Oct. Feb. May Aug. Nov. Mar. June Sept. Dec.	Jan. Apr. July Oct. Feb. May Aug. Nov. Mar. June Sept. Dec.
	19 ___	19 ___	19 ___	19 ___	19 ___
PHASE III	Implementation and Control				

Figure 12—*Continued*

	19 -	19 -	19 -	19 -
Operating Expenses Professional Salaries and Fringe Benefits (this department)				
Professional Salaries and Fringe Benefits (other departments)				
Travel (only with regard to this Action Plan)				
General and Administrative				
Total				
Capital Expenses (equipment over $100)				

Benefits Increased enrollment (number of students)				
Revenue				
Cost of Reduction				
Grants				
Other (specify)				

Special Space Requirements

Office
(number of people) ____________

Other (specify)

Additional Support Services

(Saga Food Services, Dorms, etc.)

Interaction with Other Departments

NOTE: Express all amounts in "constant" dollars; i.e., do not include or anticipate inflationary increases.

Figure 13

Action Plan ______________________ Date ____________ No. ________

Department ______________________ Assigned ____________

Program ______________________ Approved ____________

Action Taken to Date	

Time

Proposed Action for the Future (who, what, where, how, when, how much, etc.)																			
Jan. Feb. Mar.	Apr. May June	July Aug. Sept.	Oct. Nov. Dec.	Jan. Feb. Mar.	Apr. May June	July Aug. Sept.	Oct. Nov. Dec.	Jan. Feb. Mar.	Apr. May June	July Aug. Sept.	Oct. Nov. Dec.	Jan. Feb. Mar.	Apr. May June	July Aug. Sept.	Oct. Nov. Dec.	Jan. Feb. Mar.	Apr. May June	July Aug. Sept.	Oct. Nov. Dec.
19 ____				19 ____				19 ____				19 ____				19 ____			

Issue ______

Figure 13—*Continued*

	Total Amount Budgeted To Date	Projected Budget Needs			
		19 -	19 -	19 -	19 -
Operating Expenses Professional Salaries and Fringe Benefits (this department)					
Professional Salaries and Fringe Benefits (other departments)					
Travel (only with regard to this Action Plan)					
General and Administrative					
Total					
Capital Expenses (equipment over $100)					

Benefits Increased enrollment (number of students)					
Revenue					
Cost of Reduction					
Grants					
Other (specify)					

Special Space Requirements

Office
(number of people) ______

Other (specify)

Additional Support Services

(Saga Food Services, Dorms, etc.)

Interaction with Other Departments

NOTE: Express all amounts in "constant" dollars; i.e., do not include or anticipate inflationary increases.

Figure 14

PLANNING OUTLINE

I. BASIC DIRECTIONS

- A. Philosophy
- B. Objectives
- C. Mission Statement

II. STATEMENTS OF EXPECTATIONS AND/OR SATISFACTIONS

III. STATISTICAL PROFILES

- A. Financial Information
    1. Income
    2. Expenses
    3. Indebtedness
    4. Induced Course Load Matrix (ICLM)
    5. Instructional Work Load Matrix (IWLM)
    6. Cost Estimate Per Major
    7. Contributed Services
- B. Administration and Faculty

    General Information
- C. Students
    1. General Information
    2. Recruitment Program
    3. Scholastic Aptitude Distribution
    4. Class Distribution
    5. Geographic Distribution
    6. Student Services
    7. Financial Aid
- D. Erie Community
    1. General Information
    2. Relationships with the College
- E. National and Regional
    1. General Information
    2. Women's Colleges

IV. RESOURCE ANALYSIS

- A. Administration and Faculty
- B. Sources of Funds
    1. General
    2. Capital
- C. Facilities

Figure 14—*Continued*

V. ENVIRONMENTAL ANALYSIS

National Trends in Higher Education

VI. MOMENTUM LINE ANALYSIS

VII. PROJECTIONS

- A. Enrollment
- B. Academic Fields
- C. Development

VIII. ISSUES/OBJECTIVES/STRATEGIES

IX. ACTION PLANS

- A. New Plans
- B. Updated Plans

X. BUDGET

- A. Individual Departmental Budgets
- B. Composite of All Budgets
- C. Composite of Budget Plans, Capital Equipment, and Development

XI. ANALYTICAL STUDIES TEAM REPORT

XII. PLANNING TEAM REPORT

XIII. PLANNING COMMITTEE REPORT (BOARD)

Kansas City
Metropolitan Community College District

Background

District Comprises Four Community Colleges

The Kansas City Metropolitan Community College District in Missouri is a 61-year-old system, currently consisting of four community colleges. The campuses are situated to provide maximum educational access to the one million residents of metropolitan Kansas City. Three colleges have permanent campuses: Penn Valley Community College, located near midtown; Longview Community College, located 20 miles to the south of midtown; and Maple Woods Community College, some 20 miles to the north. The fourth college, Pioneer Community College, utilizes various classroom locations throughout the four-county, 400-square-mile area and has no fixed base campus. These four colleges, each with its own name, president, and distinctive characteristics, together enroll more than 15,000 FTE students. The colleges form a consortium that offers programs in the broad areas of liberal arts, vocational technology, and personal and social enrichment. Basic to these programs is the opportunity for students to correct educational deficiencies and to develop marketable occupational competencies in a changing society. The colleges openly state that they are oriented to student and community needs rather than institutional needs. Thus the established purpose of the Kansas City Metropolitan Community Colleges is to provide learning opportunities that will open to the area's citizens the kinds of experiences they need to enjoy full and productive lives.

Colleges Form a Consortium Enrolling 15,000 FTE Students

Six-Member Board of Trustees

A six-member Board of Trustees governs the District, each trustee a resident of the District. The Officers of the District are the four college presidents and three members of the central Chancellor's Office: Chancellor, Vice-Chancellor of Planning and Educational Services, and District Treasurer.

Student-Faculty Ratio—24:1

Average Class Size of 25

Full-time student enrollment was about 15,000 in 1976-77. There were 246 full-time and 251 part-time faculty. The student-faculty ratio for 1976-77 was 24:1, the average credit-hour load (annual) per FTE student was 29, the student credit hour average per FTE faculty (annual) was 725, and the average class size in the District was 25.

ACADEMIC PROGRAM AND ORGANIZATION

As a comprehensive community college district, the Kansas City Metropolitan Community Colleges (KCMCC) offer educational programs generally extending not more than two years beyond the high school level. Efforts are directed toward offering the following types of education programs:

- **Technological and Occupational Education.** Designed to meet the increasing demand for technicians, semi-professional workers, and skilled craftsmen for employment in industry, business, the professions, and government
- **Transfer Education.** Includes college freshman and sophomore courses in arts and sciences and preprofessional education that meet standards acceptable for transfer to baccalaureate-degree programs at four-year colleges and universities
- **Adult/Basic Education.** Includes common knowledge, skills, and attitudes required by society and normally leads to the equivalent of a high school diploma
- **Adult/Continuing Education.** Primarily describes retraining activities, both vocational and avocational
- **Community Education.** Involves those portions of community-services programs that deliver courses, credit or noncredit, to various segments of the community
- **Developmental Education.** Offered to prepare individuals for admission to an occupational or transfer curriculum

Since the academic structure of the District involves four somewhat autonomous colleges and a central Chancellor's Office, the responsibilities and authority for academic programs are shared between the colleges and the Chancellor's Office, with recognition of different decisionmaking functions. It is the District's responsibility to provide an overall, comprehensive program of education and services suitable for all segments of the District population and to assure that these offerings meet individual and community needs. The colleges, on the other hand, have responsibility for developing and operating all educational programs and services in their service areas.

Accordingly, decisions are made at the District level when (a) the proposed action or implied result of the decision requires either the

Board's or the Chancellor's approval, (b) the decision requires total District resources to implement, (c) the decision is related to the legal responsibilities of the District, or (d) the decision would yield efficiencies through systemwide implementation—for example, Central Computer Service. All other decisions are made at the college level.

Key responsibilities for each management element in the District are listed below.

Responsibilities of the Chancellor of the District

For the Chancellor (as chief executive officer of the Board):

1. Goal-setting for the District, in accordance with the five-year Master Plan
2. Evaluation of all programs and services
3. Development of new programs and services (districtwide)
4. Community and governmental relations (districtwide)
5. Certain centralized support services for the consortium of colleges
6. Establishment of districtwide performance standards and systems in areas such as plant operations and maintenance, security and safety, financial aids, information systems, program review process, internal audits, and communications systems

Responsibilities of Each College President

For each President:

1. The operation of all educational programs and services
2. Goal-setting for the college
3. Evaluation of the teaching/learning process
4. Support services for college departments

College academic matters are addressed according to each college's particular academic planning process. Proposals for new programs are addressed according to the districtwide planning process, which extends from the processes of the colleges.

HISTORY AND DESIGN OF ACADEMIC PLANNING AT KCMCC

Planning Began in 1974

Master Plan Updated Annually

Long-range planning, and specifically academic planning, has been evolving on a yearly basis since 1974. The intent of the academic planning process is to provide guidelines for continuous development of the academic program, well into the future. Until spring 1977, the Master Plan constituted a 10-year projection of District operations. In light of the rapid change occurring in postsecondary education, the 1977 Master Plan update will describe a five-year projection. The design of the process of academic planning is annual and cyclical, beginning around April of each calendar year and ending in December of that year. By planning on a calendar, the annual process is made to end at about the time budget preparations begin for the next fiscal year. The general purpose of the annual supplemental plan is to update the existing Master Plan, making certain that it remains current and vitalizes continued growth of the KCMCC. The specific purposes of the annual supplement:

1. To add new information that bears relevance to any part of the current Master Plan
2. To revise data from the Master Plan that are no longer pertinent due to changing conditions
3. To clarify sections of the Master Plan that have shown such a need in their continued use during the past year
4. To explore new directions in which long-range planning is necessary
5. To extend appropriate elements of the plan one year forward

The process is therefore an annual, "rolling" planning process, in which each year an additional year is added to the planning horizon of the five-year Master Plan. This annual, rolling planning process is depicted in figure 15 (page 131).

Planning Coordinated by the Vice-Chancellor for Planning and Educational Services

The planning process is coordinated by the Vice-Chancellor for Planning and Educational Services, who is directly responsible to the Chancellor of the District. The Vice-Chancellor for Planning and Educational Services has no line responsibility for the colleges or college personnel. The basic responsibilities of the Vice-Chancellor in this regard are specified by a District Regulation, which states:

> The Vice-Chancellor, Planning and Educational Services, will be responsible for developing and updating on an annual basis a District Master Plan. This Master Plan will include, as a minimum, the following components:
>
> (a) Philosophy
> (b) Mission
> (c) Goals
> (d) Systemwide Measurable Objectives
> (e) Educational Services
> (f) Fiscal Plan
> (g) Facilities
> (h) Teaching System
> (i) Staffing Parameters
> (j) Enrollment Projections
> (k) Student Services
> (l) Priorities
>
> The Vice-Chancellor, Planning and Educational Services, will report annually to the Chancellor on the progress the District is making with respect to the District Master Plan.

MAJOR COMPONENTS OF THE MASTER PLAN

As had been noted, academic planning in the KCMCC District is accomplished in the context of a comprehensive Master Plan that is

Planning Process Integrates Academic, Fiscal, and Physical Planning

updated annually through the development of a supplement to the Master Plan. The Master Plan is comprehensive and attempts to integrate academic, fiscal, and physical planning effectively and to facilitate efficient resource allocation. Academic planning efforts are focused in the first three parts of the Master Plan, whose seven parts are briefly described below.

Part A: The Education Plan 1977-81

The Education Plan component of the Master Plan will deal with the specific goals and objectives of the District as they relate to meeting the educational needs of the community through 1985. Included will be the implications of the results of occupational and community needs assessments, meetings with civic and special-interest groups, research into new teaching and learning methods, and analysis of the maximum utilization of facilities and equipment.

Part B: Student Enrollment and Curriculum Goals 1977-81

This component will yield projected student enrollments which are based on available data and will reflect estimated impact of new curriculums, facilities, and learning systems.

Part C: Staffing and Learning System Requirements 1977-81

Instructional staffing requirements will be developed from proposed curriculum and enrollment projections as well as learning systems that may be employed.

Part D: Facility Requirements 1977-81

Facility needs of the District will be based on requirements for space as developed in Parts A-C above. In addition, the principle of providing the total community equal access to the educational programs and facilities of the District will be reflected in the report. This component will also examine the cost of building the facilities which are projected in this report.

Part E: Fiscal Plan 1977-81

The fiscal plan will draw together the dollar implications of the Master Plan and present alternate methods of meeting these estimated expenditures.

Part F: The Master Plan—An Overview 1977-81

The overview of the Master Plan will bring together the four previous components—enrollment, staffing, facilities, and fiscal support—in a critical-path format, so that progress can be measured against the specific goals and objectives agreed to in the Educational Plan. Methods of evaluation and annual updating of the Master Plan will be included as essential elements of this ongoing planning process.

Part G: Appendix

The Appendix will include all relevant backup material for the conclusions reached in the components A-F on the preceding pages.

THE PROCESS AND THE CALENDAR FOR PLANNING

Draft Plans Prepared by District Staff

The responsibility of developing and updating a Master Plan is assigned by District Regulation to the Vice-Chancellor for Planning and Educational Services. The regulation further specifies minimal components of the plan, as described previously in this report.

To ensure adequate attention to each component on a district-wide basis and to provide for maximum input from the colleges, a Master Plan advisory committee is appointed to work with the Vice-Chancellor for Planning and Educational Services during the planning process. The Division of Planning and Educational Services writes draft documents on each component of the plan. The advisory committee reviews each document and makes recommendations for revisions. The draft documents are then reviewed internally in the Chancellor's office and externally on each college campus and in the District Academic Senate.

College and the District Academic Senate Review

Included in the master planning process, after the campus and Senate hearings and rewriting of each chapter and before the submission of the total plan to the Board of Trustees, is an additional process, called charrette. Charrette is the term used by Tadlock and Associates for an intensive, group-oriented planning and developing process involving representatives of all areas of the college community. The objectives of the charrette, which lasts two days and involves more than 50 persons, are to put together a draft of the Master Plan for final approval and to write an executive summary for publication.

Use of "Charrette" in Formulating Final Plan

Participants, including faculty, students, staff, administration, Trustees, and consultants, are provided copies of all chapters of the plan well in advance of the charrette. In addition, other materials are provided, such as detailed demographic data of the District population, a history of the development of the college district, a statistical profile of the current condition of the District (including an up-to-date organizational chart), and a comprehensive bibliography related to the objectives of the charrette.

In addition to the specific goal of finalizing the Master Plan, the charrette is used as a setting to:

1. Evaluate the process used in developing a Master Plan
2. Establish the proper format for the official Master Plan document
3. Determine agreement on the proper function of the Master Plan within the management system of the District
4. Identify areas of concern not included in the current document
5. Set priorities for the next year's updating of the Master Plan
6. Make recommendations related to the process of long-range planning and short-term goals

Once the official document of the Master Plan has Board approval, all responsible segments of the District community have the task of measuring and analyzing progress pertaining to the accomplishment of the outcome statements which are the "action-instruction" parts of the plan.

Planning Calendar

In order to deliver the Master Plan to the Board of Trustees on time, the foregoing process must adhere to a firm timetable. A typical calendar of events would be as follows:

• Master Plan advisory committee established • Provide committee with necessary study materials • Subcommittee appointments and assignments • Determine research needs which the Division of Planning and Educational Services must pursue	**April and May**
• Subcommittee meetings • Conduct research projects	**June, July, and August**
• Chapter revisions written by the Division of Planning and Educational Services with the advice of the Master Plan advisory committee	**September and October**
• Review by Chancellor's Office • College hearings • Academic Senate hearings	**November**
• Charrette • Final rewrite • Lodge with Board of Trustees	**December**
• Board of Trustees approval	**January**

PLANNING MATERIALS

Each of the four colleges uses materials appropriate to its own internal planning process. Consequently, those materials are not included in this case study of District-level planning. However, all colleges do utilize a common planning form that serves specific college needs as well as districtwide planning needs. The form deals with proposals for new programs, applications for new or expanded vocational educational programs, the acquiring of curriculum approval, and the procedures for submitting new programs to the State Coordinating Board.

This form, called the New Educational Program Request form, is prepared by the District office and enables the necessary program information to be gathered and analyzed in a single request form. The form, together with procedures and review processes employed by the District to analyze the information provided by the form, is described in table 8 (page 132) and table 9 (page 134).

Figure 15

ANNUAL ROLLING PLANNING PROCESS

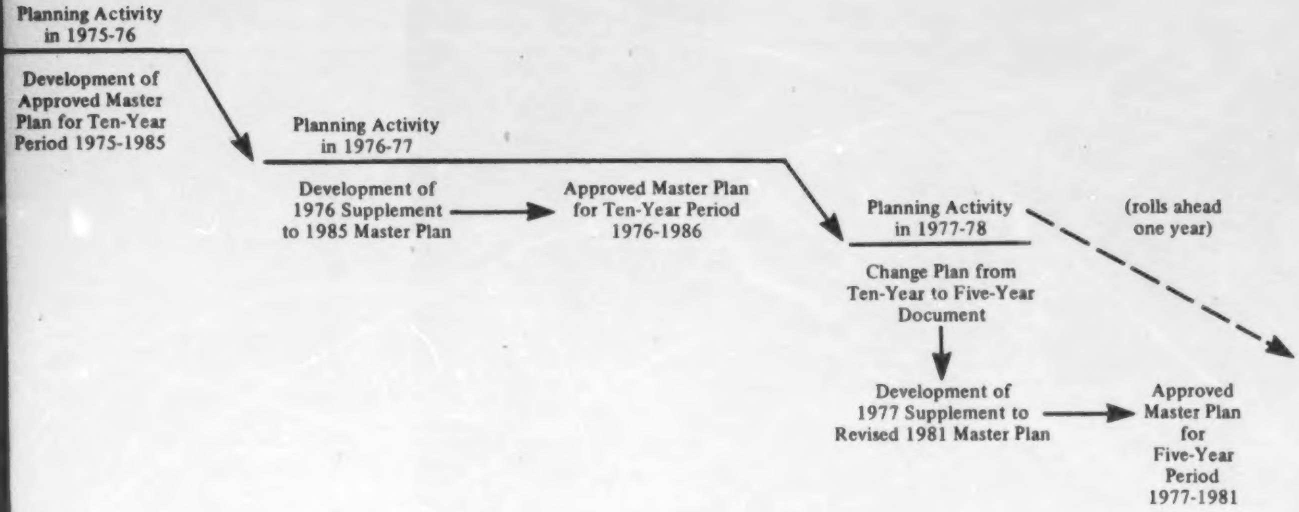

Planning Activity in 1975-76
Development of Approved Master Plan for Ten-Year Period 1975-1985
Planning Activity in 1976-77
Development of 1976 Supplement to 1985 Master Plan
Approved Master Plan for Ten-Year Period 1976-1986
Planning Activity in 1977-78
(rolls ahead one year)
Change Plan from Ten-Year to Five-Year Document
Development of 1977 Supplement to Revised 1981 Master Plan
Approved Master Plan for Five-Year Period 1977-1981

Table 8

NEW EDUCATIONAL PROGRAM REQUEST

Institution(s) ____

Department(s) ____

I. PROGRAM DESCRIPTION:

II. SEMESTER BY SEMESTER SUGGESTED COURSES:

III. CATALOG DESCRIPTION OF NEW COURSES:

IV. RATIONALE:

  A. Outcomes for Institutions, Students, and Faculty:

  B. Degree of Student Interest:

  C. Transferability to Four-Year Institutions:

  D. Job Market Analysis:

Table 8—*Continued*

V. TIMETABLE FOR IMPLEMENTING PROGRAM (Dates and Institutions):

VI. EVALUATION (Methods To Be Used)

VII. FACILITIES AND EQUIPMENT:

A. Existing:

B. Needed:

VIII. FACULTY AND STAFF:

A. Existing:

B. Needed:

Table 9

CURRICULUM APPROVAL

In accordance with Board Policy and the District regulation on curriculum approval, all new programs to be considered for implementation in the District colleges, initiated at either the college or district level, will be processed according to the following proposed District procedure.

I. **Feasibility Study Request**
The Presidents or the Chancellor may request, by memo to the Vice-Chancellor, Planning and Development, that the Division of Planning and Development conduct a feasibility study of the proposed new program. If a new program has been developed by a college, request for review will be in accordance with Section VII.

A. "New program" is defined as an occupational program leading to an Associate in Applied Science degree or certificate, or a preprofessional transfer program leading to a new degree.

1. Request by Presidents may be in response to interest expressed in developing a program by a faculty member, a department chairman, or a member of the community.
2. Request will include name and brief description of proposed program, objectives of program, type of degree or certificate to be awarded, identification of persons interested in program, reason for desiring program, and estimate of additional facilities needed, if any.

B. Feasibility studies may be initiated internally by Division of Planning and Development when analysis of research indicates a possible need for a new program.

II. **Feasibility Study**
The Vice-Chancellor will direct the Division of Planning and Development to undertake a feasibility study of the proposed program, including the following activities.

A. Appointment of Temporary Advisory Committee—Individuals representative of the employment area related to the proposed program and/or representative of institutions offering such a program will be asked to serve in an advisory capacity to provide assistance with job market analysis and determination of acceptability of proposed program.

B. Job Market Analysis—A thorough study of employment opportunities and trends, both local and national, will be conducted, based on such sources as:

1. Bureau of Labor Statistics
2. *Occupational Outlook Handbook*
3. Reports of consulting firms with whom the District has had contracts; e.g., A.D. Little, Inc.; Tadlock and Associates.
4. Reports of professional organizations in the field and requests to professional organizations for opinions and employment projections
5. Survey of appropriate employers in the Kansas City area carried out by telephone, written questionnaire, and personal interview to determine specific projections for number of positions through a 5-10 year period, entry salaries, and average earnings.
6. *MOTIS Report* (Missouri Occupational Training Information System)
7. Other community colleges across nation which offer similar programs
8. Chambers of Commerce

Table 9—*Continued*

C. Survey of Existing Programs to Establish Geographic Need—A thorough check of other community and junior colleges in the Greater Kansas City area, proprietary schools, and four-year institutions (if applicable) will be made to determine degree to which need filled by the proposed program is already being met.

D. Determination of Acceptability for Transfer—If the proposed program leads to a transfer degree, a preliminary check will be made with four-year institutions to determine acceptability of freshman-sophomore level courses in appropriate upper division majors.

   1. Contracts will be made with department chairmen or deans of appropriate schools in major institutions to which our students do transfer: University of Missouri—Kansas City, University of Missouri—Columbia, Avila, Rockhurst, Park College, Central Missouri State University, Southwest Missouri State University, University of Kansas, Kansas City University—Manhattan.

E. Determination of Degree of Student Interest—A survey of appropriate populations will be made to provide an estimate of possible enrollment in the proposed program.

   1. Existing interest surveys and needs assessments will be examined.
   2. Questionnaires will be administered to a random sample of currently enrolled students, both full-time and part-time, day and evening, credit and non-credit.
   3. If possible, high school students and adult members of the community will be surveyed.

F. Determination of Availability of Facilities—A thorough check of existing facilities, both on campus and in community, will be made.

   1. If program requires clinical facilities for practicums or locations for internships, available resources will be located.
   2. If existing facilities for on-campus program are not adequate, the possibility of leasing facilities will be investigated.

G. Report of Feasibility Study—If results of feasibility study are negative, a report will be made to persons placing request with the recommendation that program not be developed. If results are positive, Division of Planning and Development will proceed to Step III.

III. Permanent Advisory Committee Selection and Approval

In consultation with persons requesting the proposed program and with members of the temporary advisory committee, a permanent advisory committee will be established, subject to the provisions of District Regulation 2.0003 DR, "Program Advisory Committees."

A. If proposed program is occupational, members of advisory committee should be representative of the following groups:

   1. Persons employed and those responsible for employment in the occupation for which the program will prepare employees.
   2. Persons in decision-making positions of the occupation who may be able to provide facilities, internships, or cooperative work experience.
   3. Members of professional organizations related to the occupation.

Table 9—*Continued*

B. Faculty members who have expertise in the occupation under consideration.

C. If a proposed program is a preprofessional transfer program or a transfer program leading to a new degree, members of the advisory committee should be selected from the following groups:

1. Department chairmen of appropriate transfer institutions.
2. Instructors from community colleges with similar programs or from transfer institutions in which major is offered.
3. Employed professionals (other than teachers) who majored in proposed program area.

IV. **Curriculum Development and Review**
The Division of Planning and Development will coordinate the development of an appropriate curriculum for the proposed program.

A. Curriculum outline, performance objectives, and syllabi of new courses required for the program will be developed by appropriate deans, department chairmen and instructors, with the assistance of the new advisory committee.

B. New courses will be presented to appropriate College Instructional Committee(s) for their review and appropriate action.

V. **Budget Considerations — Staff and Equipment**
Budgets will be prepared and sources of funds identified.

A. The Division of Planning and Development will, in consultation with the advisory committee and the appropriate college or district personnel, prepare a budget for staff and equipment cost of new program.

1. Budget will include all start-up costs and costs for the first year of the program's operation.
2. Budget will also include projected five-year cost.

B. The Division of Planning and Development will investigate external sources of financial support for the proposed program.

1. If program is occupational, the portion of cost available through state vocational funds will be determined.
2. Possible government or foundation grants will be investigated.

VI. **Facility Needs**
In consultation with the advisory committee and appropriate college personnel, a determination of facilities needed will be made by the Division of Planning and Development.

A. If adequate facilities are not available on campus, the Division of Planning and Development will determine cost of facilities and commitment of District to provide them.

B. If program requires use of leased facilities, terms of contract will be determined and District legal counsel consulted for tentative approval.

Table 9—*Continued*

VII. Program Proposals Developed by a College

All program proposals developed by a college will be submitted to the Division of Planning and Development for review and recommendation to the Chancellor's Cabinet.

(a) The proposals will be submitted on the appropriate forms.
(b) The proposals will be subject to the analysis described in Sections I-VI above.

All proposals submitted to the Division of Planning and Development will be submitted to the Chancellor's Cabinet with appropriate recommendations.

VIII. Proposal Submitted to Chancellor's Cabinet and to Academic Senate

A proposal including program outline, course descriptions, budget and availability of facilities, and timetable will be presented to the Chancellor's Cabinet and the Academic Senate for comments and suggestions.

A. If start-up or seed money is required to initiate the program, a "New Educational Program Request" signed by the appropriate president(s) will be presented to the Chancellor's Cabinet.

B. Action taken on the comments and suggestions made by the Chancellor's Cabinet and/or the Academic Senate will be reported to the Cabinet and the Senate for their information and further response if so desired.

IX. Approval by Chancellor

If the proposed program is recommended by the Chancellor's Cabinet, the program will be submitted to the Chancellor for his approval.

X. Approval by State Bodies

New programs approved by the Board of Trustees will be submitted by the Vice-Chancellor, Planning and Development, to the appropriate state bodies.

A. Occupational programs will be submitted to the Director of Career and Adult Education, State Department of Education, in accordance with the procedure outlined in *Handbook of Vocational Education*, 1974.

B. All new programs will be submitted for approval to the Coordinating Board for Higher Education in accordance with the procedure outlined for baccalaureate degree programs in Appendix A of *Second Plan for Coordination of Higher Education in Missouri for the 70's*.

Conclusion

The development of these four case studies has led to a number of general observations about academic planning. Some result from the case studies themselves, others from IIPME task force discussions, and still others from review of the document by consultants. The observations offered below, by way of concluding this document, certainly do not exhaust the possibilities for useful inference. Indeed, it would be surprising and disappointing if readers of this document with institutional experience did not come forward with many additional analytical insights.

Planning and Allocation/ Reallocation Are Integrated

1. A first observation is that effective planning is not a process disjunct from the main stream of institutional decision-making. Planning involves decisions that have future impact on institutional, unit, and program objectives, on programs to meet those objectives, and on the allocation or reallocation of resources in support of those programs. Planning and allocation/reallocation are linked in a decision process that identifies objectives and selects and develops programs to accomplish them.

Planning Is a Process, Not a Project

2. A second observation follows from the future-oriented nature of planning. The future cannot be described or analyzed in terms as concrete as those we apply to the present or the past. We portray the future in terms of projections and estimates. Therefore, what we do to anticipate developments is inherently more likely to be mistaken than what we do to solve current problems or meet current needs. Moreover, planning is a continuing process, a rolling activity that is never completed. In consequence, it must be designed as a process rather than an

ad hoc project. Each of the case-study institutions has defined planning as a continuing, self-correcting process that does not produce a final document. The ongoing character of the planning process permits the unanticipated development and the planning mistakes to be identified as the process moves ahead and allows adjustments to be made. Planning is cyclical and none of its various stages is final.

Planning Not Limited to Only Quantifiable or Measurable Items

3. If planning is to be fully valuable, it must take into account *all the benefits* (whether or not they are readily quantifiable) and *all the costs* (whether or not they are quantifiable). This observation can be found in the writings of a number of authorities on higher education and is documented by the present case studies. Each case-study institution tries to go beyond the usual, easy aspects of management in their planning. For example, their processes are not limited to counting credit hours as the sole educational output and cash expenditures as the sole indicator of costs of instructional programs. At each of the four institutions, planning takes into account the broader range of means and ends, expressed in various terms and measures. These planning processes are predicated on a definite understanding that much that is worthwhile in higher education is not measurable and, indeed, will only be depreciated by attempts at quantification. The case-study institutions have resisted the multitude of outside pressures that have thrust upon so many institutions the kind of planning that reduces everything to a few simple numbers.

   All four planning processes we have surveyed attempt to avoid two common errors. The first, which is common among planning processes that stress the accomplishment of economies, is the propensity to assess productivity only in terms of costs. The underlying assumption is that any change that reduces cost is to be applauded as an improvement in productivity, regardless of the effect on outcomes. The second error, commonly made by enthusiasts for higher education, is a propensity to assess productivity only in terms of outcomes. Here the underlying assumption is that any improvement in outcomes, however costly, is desirable. Both outlooks are faulty because productivity is not linked to a single variable. Rather it is a relationship between two variables, cost and outcomes. That is to say, productivity involves effectiveness as well as efficiency. The academic planning processes described in the case studies attempt to relate both variables when judgments are formulated regarding programs and resource allocation/reallocation.

Administrative Allegiance to Planning

4. A planning process undertakes to rationalize decisionmaking by minimizing its ad hoc character. The process is designed to describe the future of the institution as a coherent whole and to provide for allocation/reallocation of resources that support this description. All program proposals therefore are

evaluated according to the same criteria and standards. Should participants in the planning process wish to change plans already formulated and submitted, the proposed changes are subject to the same ground rules as the original proposal. To the extent possible, then, all decisions reached during the planning process are governed by the same priorities. No important decision is made in isolation because every allocation/reallocation affects all other possible allocations/reallocations. Administrative allegiance to a planning process requires that subjective and capricious decision factors be minimized and that pressure politics or end-run tactics aimed at circumventing the process be neutralized. Administrative allegiance must be to the maintenance of planning as the primary force in allocation/reallocation of resources.

Strict Schedules and Calendars for Planning

5. Planning processes involve specific procedures and strict schedules. Calendars are set and responsibilities assigned far in advance of planning activities and are communicated to the institutional community formally. At West Virginia University, for example, the times and places of planning meetings are announced well in advance. These formal communication procedures are intended both to lend visibility to planning activities and to indicate the importance accorded by the institution to planning. Formal scheduling of planning activities puts them on a footing with other established institutional practices.

Planning Requires Staff Expertise

6. Effective academic planning must be appropriately supported with staff expertise. Each of the case-study institutions has an executive position responsible for the coordination of planning. In most cases, institutional researchers, facility administrators, and financial or budget analysts are members of the planning staff. The responsibilities and administrative location of the planning officer and/or the planning office differ from institution to institution, but the fact that each institution has an executive position with supporting staff indicates the amount of commitment that is thought to be necessary to make planning successful. Integrated planning requires staff with certain levels of expertise. In some cases, institutions will find administrative reorganization necessary to staff a planning operation or will have to recruit additional staff with requisite skills.

Planning Requires Information

7. Planning requires information about internal aspects of the institution that often is not part of the institution's current information set. The case studies provide examples of the types of internal information considered necessary for effective planning. They include current and long-term enrollment estimates for academic units and/or programs; current and long-term tenure ratios by academic unit or program center; current and long-term resource commitments to program maintenance; long-term retirement and attrition estimates for

Internal Information

faculty and staff; evidence, both quantitative and nonquantitative, that justifies need for a program; agreement of a program with a unit's purpose and the institution's mission; benefits of a program; evaluative criteria to be used to judge effectiveness of a program, and cost-benefit information.

External Information

Effective planning also requires information external to the institution. For community colleges, this information might be community-needs assessment, employer-assessment profiles, or community-agency needs. For independent liberal-arts colleges, this information may concern church, denominational, or parental expectations and perceptions. For state-supported colleges and universities, it may be comparative information regarding similar institutions, state policy regarding program development, or state manpower estimates. For major research universities, it may be sources of research and grant support, changing federal policy, or public expectations of service.

Commitment of Chief Executive Officer to Planning

8. The institution's allegiance to planning is linked to the commitment of the institution's chief executive officer to planning and to the visibility of that commitment. Without exception, the case-study institutions show a standing commitment to planning as a decisionmaking process on the part of the president or chancellor—a commitment frequently reinforced, either verbally or by written notice. The case-study institutions are quite different from one another and have chief executive officers with differing responsibilities and styles. But there can be no doubt that each institution's chief executive is directly committed to its planning process, and that the process is regarded as important.

Processes Are Mechanistic

9. Each of the processes described in the case studies, as well as other institutional processes investigated during the course of case-study activities, involves some mechanistic aspects. Specific forms are provided, with detailed instructions about how and when to complete them, what to do with completed forms, and what to do next. Specific descriptions of who, or what group, is responsible for which actions are also provided, to minimize confusion and redundancy. It is felt that the process is better understood and flows better when major portions of the process are supported by such aids and tools.

Planning Requires Time and Effort

10. Participatory planning requires time and energy on the part of all participants. Through committee membership, hearing sessions, or collegial delegation, faculty must devote time, often in what can be properly construed as overload capacities, to the development of proposals and subsequent review and analysis. Such time commitments can sometimes become extensive. Administrative staff must also devote large blocks of time to the planning effort at certain points in the process, which may detract from their ability to adequately perform their routine duties. Institutions contemplating establishment

of a participatory planning process should arrange to accommodate the workload it entails.

Time is also a factor in implementing formal planning. Since many individuals throughout the institution are involved in the process, it takes time to educate and familiarize the various participants in those aspects of the process that require their direct involvement. Ideally, one year should be spent in designing, explaining, and pilot testing before actual implementation. The first year of implementation will be one of continual revision and adjusting, as theory becomes practice. Consequently, an institution should expect to spend two to three years developing a finalized, operational planning process.

Effective Planning Is Comprehensive

11. What began as planning of academic programs has expanded into comprehensive, institution-wide efforts. They involve academic, student service, administrative support, and auxiliary programs; they incorporate major resource-allocation issues, including personnel support, equipment, space, and renovation. The prevailing environment of constrained resources no longer condones unexamined requests for resources. Priority judgments must be made regarding allocation or reallocation. For example, decisions will need to be made about whether to purchase new microscopes for biology programs or a new snowblower for plant maintenance; whether to fill vacant faculty positions in the humanities or reallocate them to fill staff needs in the admissions office or registrar's office; whether to continue subsidizing the public-service function of the institution's clinical programs in audiology and speech pathology or to charge full patient fees. Whatever the particular nonacademic issues at the institution, decisions will be viewed as more fair and in the interest of the entire institution if they are subject to the same intensity of investigation as academic decisions. In particular, faculty will be reluctant to accept and contribute to procedures and processes of planning that only require justification of the academic proposals and virtually ignore the other areas of the institution.

Planning Is Both Short and Long Range

12. Planning is both short range and long range. It is a basic undertaking that directs the flow of resources and energies toward the institution's program commitments. Planning is therefore short range, in that it develops the budget for the next fiscal year and continues program commitments. But budgetary development should not be the only recognized purpose of planning. Planning should also be long range, seeking to establish program goals and directions for the foreseeable future. The short-range resource judgments made through the planning process are means to long-range, predetermined ends.